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Extrinsic Phrases in Early-Classical Sonata Forms

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Extrinsic Phrases in Early-Classical Sonata Forms

A Dissertation Presented

by

REBECCA J. LONG

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MUSIC THEORY

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DEDICATION

To my parents, Randy and Jo Long
for their unending patience and support,

and

I*n Memoriam* Bart Truxillo,
dearest friend.

ACKNOWLEDGEMENTS

This project would not have been possible without the help of many teachers, colleagues, friends, and family. First and foremost, I would like to thank my advisor, Brent Auerbach, for his guidance both on this project and throughout my time at the University of Massachusetts. His patience, support, and many long discussions were invaluable. I'd also like to thank the other members of my committee: Gary Karpinski, Erinn Knyt, and Melissa Mueller. The genesis and completion of this project also would not have been possible without the contributions of Jennifer Lexington at the University of Massachusetts Amherst.

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ABSTRACT

EXTRINSIC PHRASES IN EARLY-CLASSICAL SONATA FORMS

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This dissertation seeks to introduce, identify, and document a set of syntactic insertions in sonata forms that I call extrinsic phrases. At its most basic, "extrinsic phrase" refers to any phrase-length insertion between the transition and secondary theme of a sonata-form movement. This concept encompasses several terms (or examples thereof) from current writings about sonata forms. However, unlike those terms, I purposefully define extrinsic phrases broadly so that they act as a generic option for an analyst.

This initial work focuses on the use of extrinsic phrases in sonata forms from the early- and mid-eighteenth century. It examines two types of extrinsic phrases—those that change an exposition's normative tonal trajectory and those that do not—in the works of Luigi Boccherini, Domenico Scarlatti, Joseph Haydn, and their contemporaries. The analyses show that the extrinsic-phrase concept creates several advantages for an analyst. Because they remain flexible in their definition, extrinsic phrases allow one to identify similarly-functioning passages that use disparate phrase and cadence structures. It also allows one to examine and create associations between seemingly disparate compositional practices. As shown in the final part of this work, the extrinsic phrase concept can also reveal connections between composers and compositions of an equally wide variety of time periods.

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THE EXTRINSIC PHRASE

This dissertation seeks to introduce, identify, and document a set of syntactic insertions in sonata forms that I call extrinsic phrases. At its most basic, "extrinsic phrase" refers to any phrase-length insertion between the transition and secondary theme of a sonata-form movement.[1] They often return in expected formal repetitions of similar material. This concept potentially encompasses several terms (or examples thereof) from current writings about sonata forms including William E. Caplin's two-part transition and two-part subordinate theme as well as James Hepokoski and Warren Darcy's trimodular block.[2] However, unlike those terms, I purposefully define extrinsic phrases broadly so that they act as a generic option for an analyst. As shown in the discussion below, the analysis of sonata forms requires a generic concept like this that will allow an analyst to ably describe any post-transition-but-pre-secondary-theme situation that arises. Furthermore, my definition of this concept remains pliable enough to apply to passages within sonata forms of any stylistic period, whereas Caplin along with Hepokoski and Darcy ground their definitions in the stylistic norms of the late-eighteenth century.

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[1] Although a later section of this chapter explores this definition in greater detail (see "The Extrinsic Phrase – A Closer Look"), I should point out that this definition takes a wide view of "phrase" and "sonata form." The former refers to William Caplin's more flexible understanding of the term "phrase" which envelopes both passages that end with a cadence and those that do not. In using the term "sonata form," I refer to any of the five types of sonata form discussed by James Hepokoski and Warren Darcy in their work. See William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven*, (New York: Oxford University Press, 1998) and James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York: Oxford University Press, 2006). Hereafter cited as "Caplin, *Classical Form*" and "Hepokoski and Darcy, *Elements,*" respectively.

[2] This includes terminology from Caplin as well as from Hepokoski and Darcy. A section in Chapter 2 entitled "Other Structures Potentially Encompassed by the Extrinsic Phrase" discusses those authors' terms and their relationship to my extrinsic phrases.

Instead of attempting to create a long-range view of extrinsic phrases across the whole of sonata-form writing, this initial work on extrinsic phrases focuses on a single time period, the early Classical era, i.e. the early- and mid-eighteenth century. Furthermore, I also limit the works examined to instrumental chamber music of this time (with one exception).[3] Analyses of works by Luigi Boccherini, Domenico Scarlatti, Joseph Haydn, and other contemporaneous composers indicate that extrinsic phrases act as non-normative additions to the form and perform various important stylistic or structural tasks during that period.

Concentrating on the early- and mid-eighteenth century also results in several other advantages for the present study. First, as mentioned above, much of the current writing on sonata form, particularly William Caplin's *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven*, and James Hepokoski and Warren Darcy's *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata*, examines music from the late-eighteenth century. Caplin along with Hepokoski and Darcy lay the foundation for the further, smaller-scale studies that examine aspects of form (often sonata form) in the late-eighteenth and the nineteenth centuries.[4] A noticeable lacuna in this outpouring of research lies in early- and mid-eighteenth-century sonata forms.

A close examination of the formal processes of sonata forms from the early- and mid-eighteenth century has not yet been undertaken. This provides ample "space" for a demonstration of extrinsic phrases. This is not to say that scholars have completely avoided the works of the early- and mid-eighteenth century. William S. Newman's *The Sonata in the*

[3] The first movement of Joseph Haydn's Symphony no. 6 "Le Matin," discussed in Chapter 4, forms the exception here.

[4] See, for example, Graham Hunt, "The Three-Key Trimodular Block and Its Classical Precedents: Sonata Expositions of Schubert and Brahms," *Intégral* 23 (2009): 65–119; Samantha Mae Inman, "The Nexus of Inner and Outer Form in Joseph Haydn's Late Instrumental Sonata Movements" (PhD diss., Eastman School of Music, 2014); Timothy L. Jackson, "The Tragic Reversed Recapitulation in the German Classical Tradition," *Journal of Music Theory* 40, 1, (Spring 1996): 61–111; Andrew Davis, "Chopin and the Romantic Sonata: The First Movement of Op. 58," *Music Theory Spectrum* 36, no. 2 (2014): 270–94; and Carl Wiens, "Two-Part Transition or Two-Part Subordinate Theme?" *Intersections* 31, 1 (2010): 46–65.

Classic Era examines the sonata as a genre across the entirety of the eighteenth century, providing information about both the number and tempi of movements in compositions called sonatas as well as an expansive list of sonata composers form various traditions (e.g. the Austro-Germanic tradition, the Italian tradition, and so forth).[5] More recently, Robert Gjerdingen's *Music in the Galant Style* looks at music from the mid-eighteenth century from a compositional standpoint and identifies various schema through which contemporaneous composers potentially constructed their works.[6] However, Gjerdingen only includes a brief discussion of how these constructs interact with current theories of form or music from later eras.

Authors who do discuss the early history of sonata form tend to compare the formal processes of the early- and mid-eighteenth century to norms from the late-eighteenth century.[7] Although a logical course of action given that current knowledge of the late-eighteenth-century sonata form far outweighs that of earlier sonata forms, this can lead one to misunderstand or misidentify stylistic features or compositional practices of the earlier time period.

A second advantage lies in the matter of early- and mid-eighteenth-century sonata forms currently posing a significant problem for analysis: while they use the same larger sections as late-eighteenth-century sonatas do, the earlier forms sometimes lack the strong cadential articulation and the use of tightly-knit phrase structures found in later examples. Early- and mid-century sonata forms also owe a greater debt to the less-strictly-structured

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[5] See William S. Newman, *The Sonata in the Classic Era* (New York: W.W. Norton, 1972).
[6] See Robert O. Gjerdingen, *Music in the Galant Style*, (New York: Oxford University Press, 2007).
[7] In their discussion of the history of their Type 2 sonata form, Hepokoski and Darcy consider mid-eighteenth-century examples of the form (sometimes called "precedents") and compare them to late-eighteenth-century versions of the same. Similarly, in a chapter entitled "The Evolution of Sonata Forms," Charles Rosen discusses sonata forms from the early- and mid-eighteenth century, but clearly views them through the compositional practices of the late-eighteenth century. See Hepokoski and Darcy, "Chapter 17: The Type 2 Sonata" in *Elements*, 353–87 and Charles Rosen, "The Evolution of Sonata Forms," Chap. 7 in *Sonata Forms* (New York: W.W. Norton, 1980), 127–69.

binary form, particularly in their expositions. The aforementioned imbalance of knowledge about earlier sonata forms versus their late-eighteenth-century counterparts contributes to the analytical difficulties. Unlike late-eighteenth-century sonata forms, norms in early- and mid-eighteenth-century forms are not yet well-established. As such, it is not necessarily the case that anomalous sections in earlier sonata forms transform a normative sonata section into a non-normative expression thereof. Instead of attempting to fit anomalies within the confines of known structures from the late-eighteenth century, one must consider these passages in terms of their stylistic or functional context rather than a formal-structural one. It is from this perspective that my work emerges.

The current chapter provides an introduction to the term "extrinsic phrase." It will discuss the analytical situations that inspired the term's creation, define the characteristics of an extrinsic phrase more closely, and examine the process by which an extrinsic phrase separates itself from the surrounding sections of a sonata-form exposition.

Chapter Two considers the extrinsic phrase's place in sonata form and current discussion of that form. It closely examines the transition and secondary theme in Type 2 and Type 3 sonata forms, i.e. the sections which surround the extrinsic phrase. The second half of the chapter discusses the extrinsic phrase in relation to three theories of form: the contemporaneous account of Heinrich Christoph Koch and more recent discussions of the form by William Caplin as well as James Hepokoski and Warren Darcy. This chapter, along with the first, prepares for the two central chapters of the dissertation which analyze examples of extrinsic phrases.

Chapter Three examines extrinsic phrases that affect the conventional tonal or modal plan of the exposition (either temporarily or permanently). The chapter focuses on two specific functions: extrinsic phrases that provide a temporary element of modal contrast that

emphasizes the tonal midpoint of the exposition, and extrinsic phrases that modulate to a new, previously unprepared secondary key.

Chapter Four examines extrinsic phrases that occur entirely within the secondary key. Again, two functions are isolated: extrinsic phrases that create temporary "material" contrast and function in a similar manner to the modally-contrasting phrases from the previous chapter, and extrinsic phrases that support weak or problematic medial caesuras.

Chapter Five concludes the dissertation. It considers the similarities in construction between all extrinsic phrases and the advantages and disadvantages of the methodology established here. Additionally, it includes a discussion of how best to perform works that include extrinsic phrases as well as a brief re-examination of how the concept of extrinsic phrases interacts with other current terms. Finally, the chapter concludes with a consideration of extrinsic phrases from different time periods (namely the nineteenth century) and suggestions for further study.

The Extrinsic Phrase – A Closer Look

I define an extrinsic phrase as an added ("extrinsic") phrase-length insertion that occurs between a normative transition and secondary theme in a sonata-form movement.[8] This overarching concept encompasses any such addition to a sonata form. It is not limited to certain phrase structures, cadences, or harmonic profiles. Figure 1.1 presents an abstracted diagram of a sonata-form exposition containing an extrinsic phrase (marked "EP" on the diagram). Extrinsic phrases occur in either the secondary key or some other key (with the exception of the movement's tonic key). Most often, movements which use them contain only one extrinsic phrase. However, it is possible for a movement to use more than one

[8] Some formal structures in a similar location identified by other theorists—namely Caplin as well as Hepokoski and Darcy—are understood as non-normative variants of either the transition or the secondary theme. Chapter 2 examines these terms more closely.

extrinsic phrase.[9] Extrinsic phrases act as syntactically and functionally independent structures (i.e. they act as neither a continuation of the transition nor as the beginning of the secondary theme). Extrinsic phrases are not necessary to a given form's structural coherency. Omitting an extrinsic phrase from an exposition will not create structural problems like omitting a transition or secondary theme would.[10]

The "phrase" portion of "extrinsic phrase" embodies Caplin's view of the concept: "minimally, a four-measure unit, often, but not necessarily, containing two ideas."[11] Caplin's "phrase" forms a closer analog to Heinrich Christoph Koch's *Absatz* than other current understandings of the term that usually require a cadential ending to a phrase. This allows for a more flexible application in the discussion of form, which is particularly important for the discussion of musical form in the early- and mid-eighteenth century. An extrinsic phase may encompass a complete, tightly-organized phrase structure (e.g. a sentence) with a beginning, middle, and end that concludes with a cadence.[12] In other cases, the extrinsic phrase comprises an incomplete phrase structure that ends without a cadence (e.g. a repeated idea).[13] Regardless of the phrase structure they use or how they conclude, the analyses below

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[9] In the course of this project, I have found movements seem to use no more than two extrinsic phrases. One of these movements, Sebastian de Albero's Sonata no. 18 in B minor is analyzed in Chapter 3.

[10] As it forms a non-normative addition to a sonata-form, omitting an extrinsic phrase usually creates a more normative form, not a less normative one. This cannot be said of omitting the transition, secondary theme, and so forth.

[11] See Caplin, *Classical Form*, 256. Importantly, for Caplin, the term "measure" as used here "does not necessarily correspond to the notated bar lines of the score" nor does he specify that a phrase end with a cadence. See Ibid., 35.

[12] Caplin classifies phrases and other formal structures based on their level of internal organization. All phrases exist on a continuum ranging from more-organized, "tightly-knit" structures to less-organized, "looser-knit" structures. Tightly-knit structures, like the secondary theme, are "characterized by the use of conventional theme-types [e.g. period, sentence], harmonic-tonal stability, a symmetrical grouping structure, form-functional efficiency, and a unity of melodic-motivic material." Loose structures are "characterized by the use of non-conventional thematic structures, harmonic-tonal instability (modulation, chromaticism), an asymmetrical grouping structure, phrase-structural extension and expansion, form-functional redundancy and a diversity of melodic-motivic material." See Caplin, *Classical Form*, 257 and 255, respectively.

[13] Some would consider these structures as "subphrases," reserving the term "phrase" for structures that conclude with a cadence. "Subphrase" however, creates difficulties for the discussion of extrinsic phrases as that term signifies that a section of music forms a dependent part of a larger, independent section. For extrinsic phrases, including those comprising incomplete structures, this is not the case.

use the term "phrase" to describe any passage of music whose internal features and/or external surroundings signal its independence.

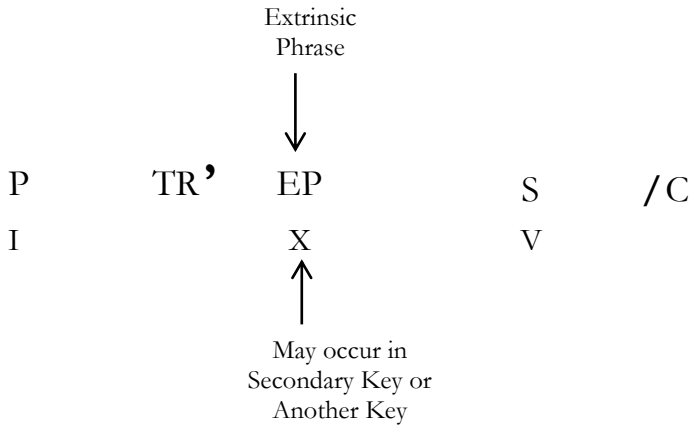

Figure 1.1 The Two-Part Exposition with Extrinsic Phrase

The flexibility of the "phrase" portion of the concept gives rise to a similar diversity of possible endings for the extrinsic phrase. Extrinsic phrases often conclude with cadences. Other extrinsic phrases, however, conclude with an arrival on the tonic or dominant of the prevailing key. Caplin's overview of dominant arrivals (in the context of the end of the transition), provides a useful introduction to how these differ from cadences:

> In some cases, a half-cadential progression is present, but for a variety of reasons, the appearance of the final dominant fails to create a true cadence [e.g. the cadence is obscured by voice leading or surrounding similar progressions]. In other cases, a cadential progression is absent, yet the final dominant still gives the impression of being an ending harmony.[14]

The differences in the strength of the extrinsic phrase's possible endings only affect the degree of separation they attain from the secondary theme. Arrivals on the dominant or tonic create a weaker sense of separation from the secondary theme than cadences. However, in the analyses in subsequent chapters, in all cases where the extrinsic phrase features a non-cadential ending, differences in other domains (e.g. melody, harmony,

[14] See Caplin, *Classical Form*, 133. For further discussion of dominant arrivals versus cadences, see Ibid., 133–35, especially Caplin's Examples 9.2, 9.5, 9.11, and 9.12.

rhythm, dynamics, orchestration, etc.) thoroughly support the separation, making up for the extrinsic phrase's weaker conclusion.

It is tempting to identify extrinsic phrases as part of the secondary theme or the transition because of their location. In a normative, two-part exposition, two potential labels for the music following the medial caesura exist. Either the secondary theme begins or the transition continues, the latter denying the success of the medial caesura. But other aspects apart from location justify a formal label. A passage must express the characteristics of a function in order to be considered an example thereof. These characteristics allow one to determine what constitutes an introduction versus a primary theme, a primary theme versus a transition, and so forth. These either/or situations form some of the most common initial judgments within the analysis of a sonata form. In some situations, however, this becomes too limiting. Furthermore, even if one can convincingly argue for one term or another, the act of compartmentalizing these phrases can be detrimental. Attempting to force non-normative passages into one of these categories for sake of formal convention undermines any effort to understand sonata form.

Function also allows us to say "neither/nor," thereby excluding both possibilities regardless of what "should" be occurring according to traditional models of the form. In making such a judgment one concedes that the passage in question fails to sufficiently convey either of the normative potential functions given one's location in the form. In introducing the term "extrinsic phrase' I hope to accommodate these non-normative, "neither/nor" passages that occur between the transition and the secondary theme but function as neither.

This dissertation discusses four functions of extrinsic phrases: modally-contrasting extrinsic phrases, modulating extrinsic phrases, materially-contrasting extrinsic phrases, and

supporting extrinsic phrases. The first two functions alter the tonal plan of the exposition by affecting temporary or long-term changes in mode or key. The second two functions include extrinsic phrases that occur entirely within the secondary key, but remain separate from the secondary theme. Modally-contrasting and materially-contrasting extrinsic phrases function in similar ways. Both emphasize the tonal midpoint of the exposition (i.e. the end of the transition and the beginning of the secondary theme) by presenting an unexpected passage after the medial caesura that temporarily circumvents expectations for that point in the form. In modally-contrasting extrinsic phrases, the extrinsic phrase arrives in the correct secondary key, but the "wrong" mode (e.g. G minor instead of G major). Materially- contrasting extrinsic phrases create their contrast through other means, particularly the use of non-normative harmonies or harmonic progressions at their outset.

Modulating extrinsic phrases and supporting extrinsic phrases both respond to (quite different) situations at the end of the transition. Modulating extrinsic phrases modulate from the secondary key prepared by the transition to an unprepared key that concludes the exposition. Supporting extrinsic phrases occur after weak or problematic transitions and medial caesuras and independently signal the exposition's tonal motion (i.e. the modulation to the secondary key) before the onset of the secondary theme.

Despite the similarities described above, this dissertation divides the analysis of movements containing extrinsic phrases based on whether or not the extrinsic phrase includes a shift in key or mode. Extrinsic phrases with such changes establish their autonomy from the remainder of the exposition primarily by their change in key. Other extrinsic phrases occur entirely in the secondary key, leaving them to separate themselves from their surroundings in more subtle ways. The first of the two central analyses chapters in this dissertation examines modally-contrasting extrinsic phrases and modulating extrinsic

phrases. The former represents a temporary divergence from the exposition's normative tonal path while the latter permanently alters the exposition's course. In major-mode expositions containing a modally-contrasting extrinsic phrase, the transition and medial caesura prepare for a secondary theme in the major dominant.[15] The extrinsic phrase follows, arriving unexpectedly in the minor dominant, which creates modal contrast between itself and the surrounding sections of the exposition (as well as the expectations set forth by the transition and medial caesura). These extrinsic phrases emphasize the medial caesura and the secondary theme by temporarily denying the onset of the latter.

Modulation creates a more permanent change to the exposition's tonal trajectory. These extrinsic phrases modulate from the secondary key prepared by the transition and medial caesura to a different secondary key that closes the exposition. Modulating extrinsic phrases encompass a wide variety of potential tonal plans. In order to focus the conversation here on the mechanics of the extrinsic phrase's use the examples discussed follow a single tonal plan. The examples of modulating extrinsic phrases provided occur in minor-mode movements and modulate from the mediant, the secondary key prepared by the transition and medial caesura, to the minor dominant. Both the mediant and the minor dominant act as normative options for the secondary key here.[16]

The second of the two central analysis chapters examines two functions of extrinsic phrases that occur in the prepared secondary key: materially-contrasting extrinsic phrases and supporting extrinsic phrases. Although similar in their overall function, materially-contrasting extrinsic phrases separate themselves from the transition and the onset of the

[15] Chapter 3 discusses modally-contrasting extrinsic phrases in the context of major mode movements because, as of this writing, no clear example of a similar occurrence in a minor-mode movement has been found. Regardless, I leave the possibility of such occurrences open within minor-mode movements.
[16] Not all modulating extrinsic phrases, even those that occur in minor-mode movements, modulate from one normative option to another. Chapter 3 discusses some other possibilities.

secondary theme in a different manner than modally-contrasting extrinsic phrases. Modally-contrasting extrinsic phrases rely on their change in mode while materially-contrasting extrinsic phrases rely on other elements, such the use of non-normative harmonies or harmonic syntax. Supporting extrinsic phrases, the final group of examples, occur after weak or problematic transitions and medial caesuras. This section focuses on three movements from a single set of early string quartets by Luigi Boccherini. This yields some insight into the composer's personal style as well as providing examples of three supporting extrinsic phrases with different contexts.

Exploration of Problem

My concept "extrinsic phrase" addresses problems in the sonata forms and allows certain aspects of that style to be clearly documented. This section explores two of the more prominent issues that arise for an analyst through two brief analyses of sonata forms from the early- and mid-eighteenth century. The first, taken from Domenico Scarlatti's Keyboard Sonata in B-flat major, K. 473, shows how, despite the recent effusion of sonata-form terminology, some passages resist description by any currently-available term. The second, a comparison of Scarlatti's K. 473 and the second movement of Luigi Boccherini's String Trio in A Major, G. 79, illustrates how an analyst might overlook important aspects of style when using current terminology.

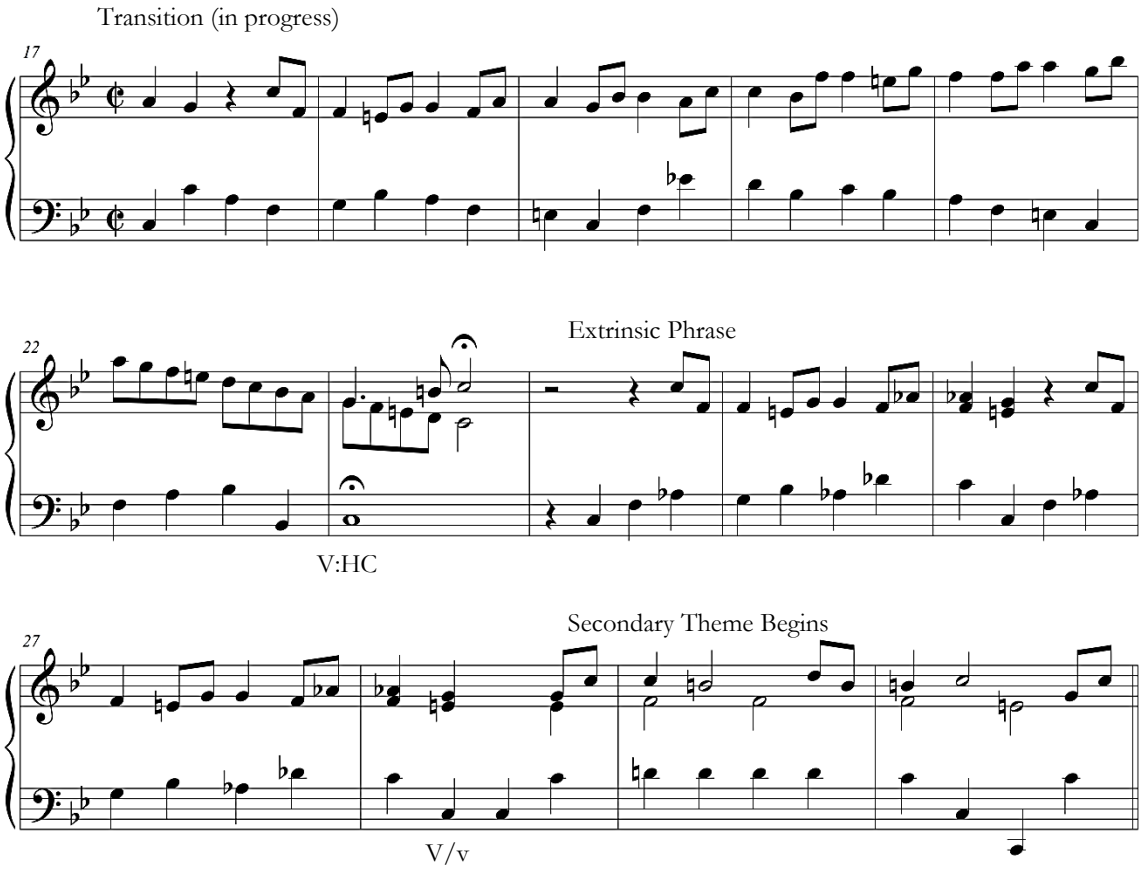

Figure 1.2 Scarlatti, Keyboard Sonata in B-Flat Major, K. 473

Figure 1.2 begins at the end of the transition in the exposition of Scarlatti's Keyboard Sonata in B-flat major, K. 473. The transition ends with a half cadence in F major, the eventual secondary key and the normative option for the movement. Scarlatti often emphasizes the conclusions of his transitions with longer held notes accompanied by *fermatas* like the half notes and whole note at the end of m. 23. A rest in all voices occurs at the beginning of m. 24, solidifying the separation of the preceding transition from what is to come. The first passage following the transition consists of a repeated two-bar idea in an unexpected mode, F minor. The passage ends as suddenly as it began in m. 28, following the repetition of the idea—no cadence occurs at this point. An anacrusis at the end of m. 28 leads to a ten-bar phrase and its repetition, each ending with a PAC in F major, the prepared

(and anticipated) secondary key. A brief closing passage prolonging F major follows, concluding the exposition.

Any attempt to apply terminology from Caplin or Hepokoski and Darcy to the passage would face difficulties.[17] Caplin's term "two-part transition" refers to a transition that includes a half cadence in the home key followed by a half cadence in the secondary key; the V:HC that precedes mm. 24–28 rules this possibility out. For a modulating subordinate theme to occur mm. 24ff. would include a half cadence in the secondary key followed by a PAC in the same key.[18] If mm. 24–28 formed a part of either of these structures, a half cadence in the secondary key would conclude the passage at m. 28. However, no cadence occurs. Instead the passage ends after the two-bar idea's repetition; the conclusion of this phrase is primarily signaled by the onset of the secondary theme in the correct mode. The harmonic language of mm. 24–28 rules out this acting as an example of Caplin's "standing on the dominant", which consists of a dominant prolongation.

Hepokoski and Darcy's terminology is equally problematic when one attempts to apply it to this passage. The term "caesura-fill" applies to music that "fills in" the normative gap (i.e. rest in all voices) between the end of the transition and the onset of the secondary theme. The passage in question begins after that gap, a quarter rest in all voices that occurs at the beginning of m. 24, thereby ruling out the possibility of this passage acting as caesura-fill.

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[17] A reader unfamiliar with those terms should have no difficulty with the examples as I provide enough information here for a cursory understanding of Caplin's or Hepokoski and Darcy's terminology as it pertains to the examples. A discussion of these terms and their potential for overlap occurs in Chapter 2.

[18] In the case of the modulating subordinate theme, "secondary key" refers to the key in which the exposition ends. Modulating subordinate themes usually consist of changes in tonic, not changes in mode. See Caplin, *Classical Form*, 119–21.

Hepokoski and Darcy's trimodular block requires a "double medial caesura effect;"[19] in a hypothetical trimodular block, the first medial caesura effect occurs at the end of the transition and the second occurs at the end of the passage following the transition. For the current purposes, the V:HC and subsequent rest in mm. 23–24 provides a good example of a medial caesura effect. A medial caesura effect contains two main elements: a cadence (usually an emphasized half cadence) and a gap in all voices.[20] In Scarlatti's K. 473, a medial caesura effect occurs at the end of the transition (i.e. at mm. 23–24), but not at m. 28, the end of the minor-mode passage.[21]

Beyond the terminology issue, the passage in question belongs neither to the transition that precedes it nor to the secondary theme that follows it. Calling mm. 24–28 an extrinsic phrase allows an analyst to describe a passage that belongs neither to the transition nor the secondary theme in a generic sense. Once the term "extrinsic phrase" is recognized it facilitates the comparison of such passages which may contain different internal structures, but function in the same manner within their respective expositions. Whereas current theories of form tend to categorize non-normative additions to the form by the specifics of their internal structure, the term extrinsic phrase acts as generic. One might think of it like the difference between the terms "dog" and "Welsh corgi." Current terminology includes terms like "Welsh corgi" or "Springer Spaniel" and so forth, but not the term "dog." That is, one can currently discuss structurally similar events like trimodular blocks but miss the larger significance of functionally and stylistically related events that have different internal structures.

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[19] See Hepokoski and Darcy, *Elements*, 170–77.
[20] Hepokoski and Darcy allow for variations in the strength of the cadence, the amount of emphasis at the cadence, and whether or not a rest in all voices occurs. See Hepokoski and Darcy, *Elements*, 24–45.
[21] An analyst might still be content with understanding the passage as part of a trimodular block, but with a significantly diminished second medial caesura effect. Often, attempts to analyze early- and mid-eighteenth-century extrinsic phrases include (sometimes-extensive) caveats.

As an exercise, I compare the extrinsic phrase from Scarlatti's K. 473, shown above in Figure 1.2, to the extrinsic phrase from the second movement of Luigi Boccherini's String Trio in A Major, G. 79, shown in Figure 1.3. The extrinsic phrase in Boccherini's string trio encompasses a complete phrase structure that ends with a half cadence in the minor dominant (v:HC). This means that, unlike the extrinsic phrase from Scarlatti's K. 473, the extrinsic phrase in Boccherini's string trio might, to some analysts, act as the first part of Caplin's two-part subordinate theme or Hepokoski and Darcy's trimodular block.

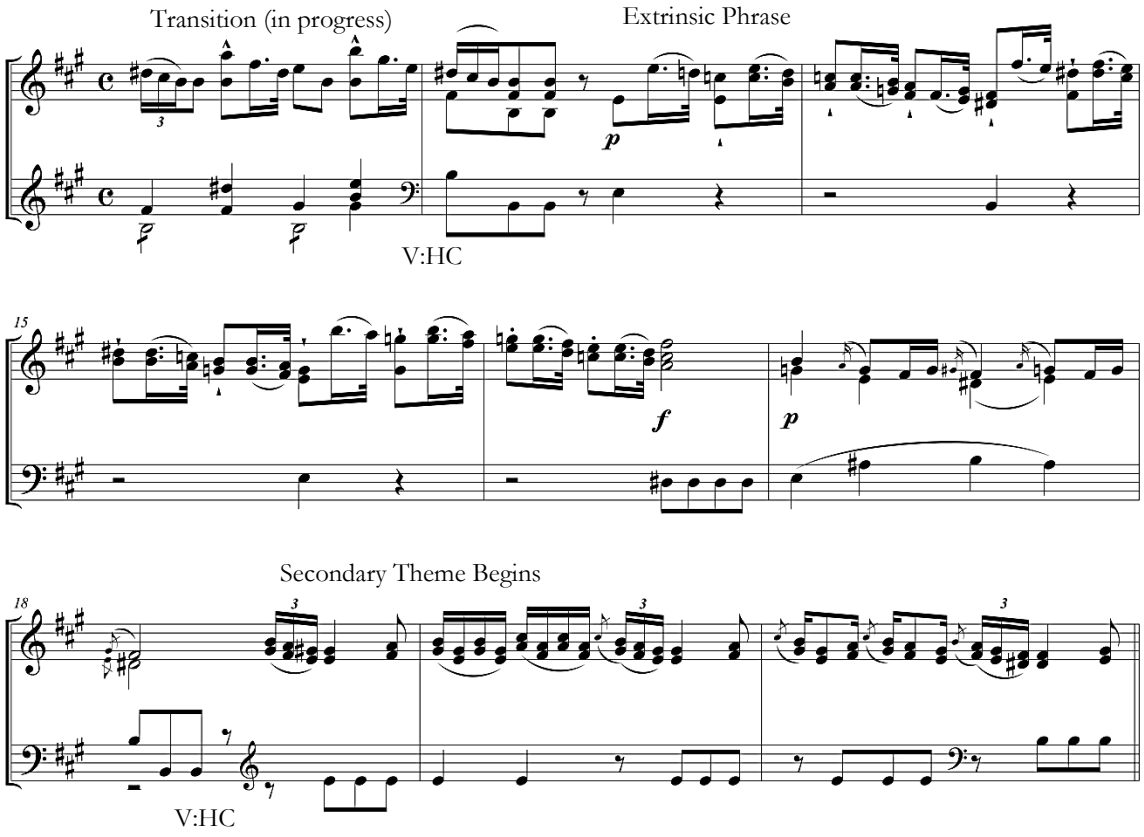

Figure 1.3 Luigi Boccherini, String Trio in A Major, G. 79, ii, Piano Reduction

Despite their differences, the expositions of both movements feature a similar sequence of events. The transition ends with a strong half cadence and medial caesura (in both cases a V:HC). Instead of immediately beginning a secondary theme in their respective

dominants (V), each exposition inserts a brief passage in the dominant minor (mm. 13–18 in the string trio and mm. 24–28 in the keyboard sonata). This passage ends on V/v. The use of this harmony allows the exposition initiate the secondary theme in the major dominant (at the third beat of m. 18 in the string trio and the anacrusis to m. 29 in the keyboard sonata).

The two extrinsic phrases function in the same way: they highlight the onset of the secondary theme by acting as an unexpected moment within the exposition that defies the expectations created by the transition that precedes them. "Extrinsic phrase" acts as a generic term that encompasses both structures and allows for the comparison of these post-medial-caesura-but-pre-secondary-theme insertions. Although these movements use various structures for their respective extrinsic phrases, those phrases become unified through their functions. Comparison of these passages reveals trends in the way early- and mid-eighteenth-century composers used these insertions.

Similar trends potentially occur in music of later eras. A later section of this dissertation examines two examples of extrinsic phrases in the nineteenth century. One of these, taken from the first movement of Brahms's Clarinet Sonata in F Minor, op. 120, no. 1 presents an exposition that, for some analysts, includes an example of a trimodular block.[22] However, as shown in a brief analysis there, one might also relate that passages with different internal phrase structures but with a functionally analogous purpose.

Separation Signals – Differentiating the extrinsic phrase from Its Surroundings

Recognition of the extrinsic phrase both as an independent syntactic unit and as a unique functional section of the sonata form relies on its differentiation from the transition and the secondary theme. Establishing a section of an eighteenth-century sonata form as an

[22] See the section in Chapter 5 entitled "Extrinsic Phrases in Later Eras" beginning on page 239.

autonomous unit requires changes in various musical elements in accord with the boundaries of that section. Some of the strongest indications of a section's separation from another comes in the form of structural changes in mode, key, or harmony, as well as the presence of a cadence or strong dominant arrival at a boundary (i.e. before the section or at the conclusion of the section). Other signals, such as changes in the domains of melody, rhythm, phrase structure, dynamics, texture, and orchestration often support these stronger changes, but can, in combination, differentiate a section of music from its surroundings in the absence of changes in key, mode, harmony, or cadence. Signals like these already inform one's recognition of the onsets and conclusions of other sonata-form sections.[23]

I establish nine signals for the separation of the extrinsic phrase from both the transition and the secondary theme.[24] These signals are modeled on Mark Richards's signals for a secondary theme onset.[25] Richards's work, examined more closely in Chapter 2, recognizes two "states" for most signals: a regular or "not strong" state (recognized implicitly) and a more marked "strong" state.[26] In some cases, a signal's mere presence acts as its strong state, i.e. there is no "not strong" state.

Figure 1.4 lists each signal and a short summary of what is needed to establish a separation or a strong separation. The first three signals describe potential syntactic and harmonic cues within and around a candidate phrase, i.e. the stronger indications of

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[23] The secondary theme forms a particularly apt example. Hepokoski and Darcy cite the changes in key, harmony, and (often) other domains between the end of the transition and the onset of the secondary theme as important signals of a medial caesura's "success." See Hepokoski and Darcy, *Elements*, 30–36.

[24] The separation signals discussed here work in tandem with one's understanding of the functions and characteristics of the transition and secondary theme, i.e. the sections surrounding the extrinsic phrase. Chapter 2 closely examines and defines these sections.

[25] See Mark Richards, "Sonata Form and the Problem of Second-Theme Beginnings," *Music Analysis* 32, 1 (2013): 3–45.

[26] I say that Richards recognizes the "not strong" state implicitly because, although he discusses such signals, he never provides a term for them. I adopt the term "not strong" for these signals as it forms the best option here. "Strong" versus "weak" implies below-average strength on the part of the latter. Another possibility, "marked" versus" unmarked" suggests that the "marked" state creates an emphasized moment against "unmarked" surroundings. Neither of these is appropriate to the circumstances at hand.

separation discussed in the paragraphs above. The remaining signals all describe changes in various musical domains that can occur between the transition and the beginning of the extrinsic phrase and between the end of the extrinsic phrase and the onset of the secondary theme.

SIGNAL	LOCATION	ESTABLISHED BY
Endings	Boundary	Strong conclusions to TR (i.e. the MC) and EP; may or may not mean use of a cadence
Tonality/Modality	Content	Unprepared key or mode for EP (i.e. not the prepared secondary key)
Harmony	Content	Unstable harmonies/harmonic motion, esp. at onset of EP
Melody	Content	New melodic content for EP and/or correlated melodic content in other sections of the expos.
Rhythm	Content	EP avoids established rhythmic motives and/or creates its own marked, rhythmic profile
Phrase Structure	Content	EP excluded from other expos. sections because of phrase structure (its own or other sections')
Dynamics	Boundary	Contrast in dynamics at boundaries of the EP, e.g. drop to *piano* from *forte* following the MC
Texture	Boundary	Avoids texture used by other expos. sections and/or uses its own, marked texture
Orchestration	Boundary	Change in the instrumentation for the EP and/or correlated orch. in other sections of the expos.

Figure 1.4 Separation Signals for the Extrinsic Phrase

The figure also lists the separation signals' locations, dividing them into "boundary" signals versus "content" signals, dependent on where and how each signal occurs. Boundary signals occur at the boundary of the extrinsic phrase and/or the sections that surround it. Although changes that occur at the boundary may remain in effect for the entirety of the extrinsic phrase (e.g. a change in dynamics at the beginning of the extrinsic phrase), any subsequent changes in those areas that occur within the extrinsic phrase do not affect the

signal's presence.[27] Content signals are those that, though they often initially occur at the boundary of the extrinsic phrase, involve the central portion of the phrase as well in order to establish their presence.

The first signal, "endings," encompasses the cadences or arrivals at the two boundaries of the potential extrinsic phrase. As long as some sort of ending occurs before and after the extrinsic phrase—even when both the end of the transition and the end of the extrinsic phrase are arrivals, not cadences—the endings signal is invoked. The strong-state version of this signal requires a strong medial caesura cadence and gap at the conclusion of the transition and a cadence at the end of the extrinsic phrase. In cases where the transition fails to end with a strong medial caesura cadence the endings signal occurs in a non-strong state. This signal also frequently occurs in a non-strong state when the extrinsic phrase ends in a tonic or dominant arrival instead of a cadence.

The second signal labeled "tonality/modality" occurs when the extrinsic phrase begins in an unprepared key or mode or modulates to a new key.[28] In the former, an unprepared key or mode occurs only during the extrinsic phrase, creating a temporary change. In other cases, the extrinsic phrase modulates to a new secondary key option, discarding the key prepared by the transition in the process. This creates a permanent change of key in the exposition. A strong separation occurs when the arrival of an unexpected key or mode articulates a tonic chord or when the extrinsic phrase modulates to a new secondary key option. The signal occurs in its non-strong-state when the extrinsic phrase arrives in an unprepared key or mode, but fails to articulate a tonic chord in a significant manner (i.e. the

[27] This is, of course, provided that these internal changes do not themselves affect events at the boundaries of the extrinsic phrase.

[28] By "arrivals in an unprepared key or mode" I mean beginnings to the extrinsic phrase in some other key than that which was prepared by the transition. For instance, in a major-mode sonata form an extrinsic phrase that begins in the minor dominant (following a transition that prepared for the major dominant as the secondary key) would constitute such an arrival.

tonic is not a passing chord, embellishment, or accident of voice leading) or when a relatively brief tonicization of an unexpected harmony occurs.

The harmony signal provides another way of differentiating an extrinsic phrase from a potential secondary theme onset. Secondary themes establish the secondary key by stating the tonic chord at their outset and using stable harmonic progressions within that key. Furthermore, secondary themes generally avoid the use of sequences or dominant prolongations at their outsets. Some extrinsic phrases, particularly those that occur in the secondary key, differentiate themselves from the secondary theme by beginning with non-normative harmonies (i.e. not the tonic or dominant) or harmonic progressions. In addition, they may employ sequences, dominant prolongations, or fail to state the tonic chord of the secondary key at an appropriate point. For this signal, its presence acts as its strong-state version.[29]

The remaining separation signals refer to changes in various musical domains that create contrast between neighboring formal areas. These include melody, rhythm, phrase structure, dynamics, texture, and orchestration.[30] They form a more subtle and diverse group of possibilities that, though usually unable to affect a complete separation of the extrinsic phrase by themselves, create a more powerful impact when used in combination. The domain signals each rely on differences in the musical materials uses by the transition and extrinsic phrase and the extrinsic phrase and the secondary theme.

Differences between the melodic content of the extrinsic phrase and other formal sections can provide a powerful signal of the extrinsic phrase's autonomy. In a not-strong-state melodic separation, the extrinsic phrase avoids melodies and/or melodic motives

[29] This means the signal has no "not-strong" state. Its presence creates an emphasized moment in the music.
[30] Depending on the repertoire examined, an analyst might expand this list to include density, register, or other appropriate domains.

attached to other sections of the exposition. For a strong-state separation in terms of melody to occur, other formal sections (i.e. not the extrinsic phrase) must share melodic material. For example, if a primary and secondary theme shared a melodic motive that the extrinsic phrase lacked, this would create a strong separation.[31]

The rhythm signal includes both rhythmic motives and any prevalent rhythms within a passage or passages, e.g. one characterized by triplets. A non-strong-state separation of the extrinsic phrase via rhythm or rhythmic motive occurs when that section avoids a rhythmic motive or predominant rhythmic type shared by two or more of the other sections of the exposition. In a strong-state separation, the extrinsic phrase establishes its own unique, marked rhythmic profile. For example, an extrinsic phrase making frequent use of dotted rhythms when the other sections of the exposition avoid them would be strongly separated from the rest of the form.

The phrase structure signal concerns the overall organization of the extrinsic phrase compared to other sections of the exposition. There are two ways of invoking this signal. In the first manner, the extrinsic phrase and/or the sections that surround it use clear phrase structures that exclude the extrinsic phrase from acting as part of another formal section. The second manner of invoking this signal occurs when a prevailing phrase structure is used by two or more other sections of the exposition, but not the extrinsic phrase.

The dynamics signal describes the dynamic contrast between the transition and extrinsic phrase and the extrinsic phrase and secondary theme. A strong-state separation occurs when dynamic contrast occurs at boundaries of the extrinsic phrase (i.e. between the transition and the extrinsic phrase and between the extrinsic phrase and the secondary theme). This does not necessitate the use of a *forte* dynamic for both the transition (TR) and

[31] An example of this situation may be found in the second movement of Luigi Boccherini's String Trio in A Major, G. 79, discussed in Chapter 3.

the secondary theme (S); it allows for changes of dynamic within the extrinsic phrase that would make a *piano* onset of the secondary theme an available option. A non-strong-state separation occurs either when dynamic contrast only occurs on "one side" of the extrinsic phrase, i.e. between the transition and the extrinsic phrase or between the extrinsic phrase and the secondary theme, but not both.

The texture signal often coincides with the orchestration signal, but it at times occurs on its own, especially in works with more limited instrumentation. A strong-state separation occurs in two situations. The first is similar to the strong-state separation described for the melody signal. If other sections of the sonata form use the same texture the extrinsic phrase's texture, by virtue of its dissimilarity, becomes marked. In other situations, however, the extrinsic phrase establishes a marked texture (e.g. canon, fugato, etc.) when surrounded by unmarked, but not necessarily similar, textures.

Orchestration changes function in a manner similar to alterations of the texture. The signal includes noticeable changes in the instruments playing between either the transition or secondary theme and the extrinsic phrase. Orchestration also includes changes in the use of a single instrument or a group of instruments, e.g. the first and second violins of a string quartet moving from the melody to the accompaniment. Strong-state separations in orchestration require a strong correlation between other passages, but not with the extrinsic phrase. Correlation may be large scale (e.g. using a string choir in the transition and secondary theme, but a brass choir for the extrinsic phrase) or small scale (e.g. cello playing the melody in the primary and secondary themes, but not in extrinsic phrase).

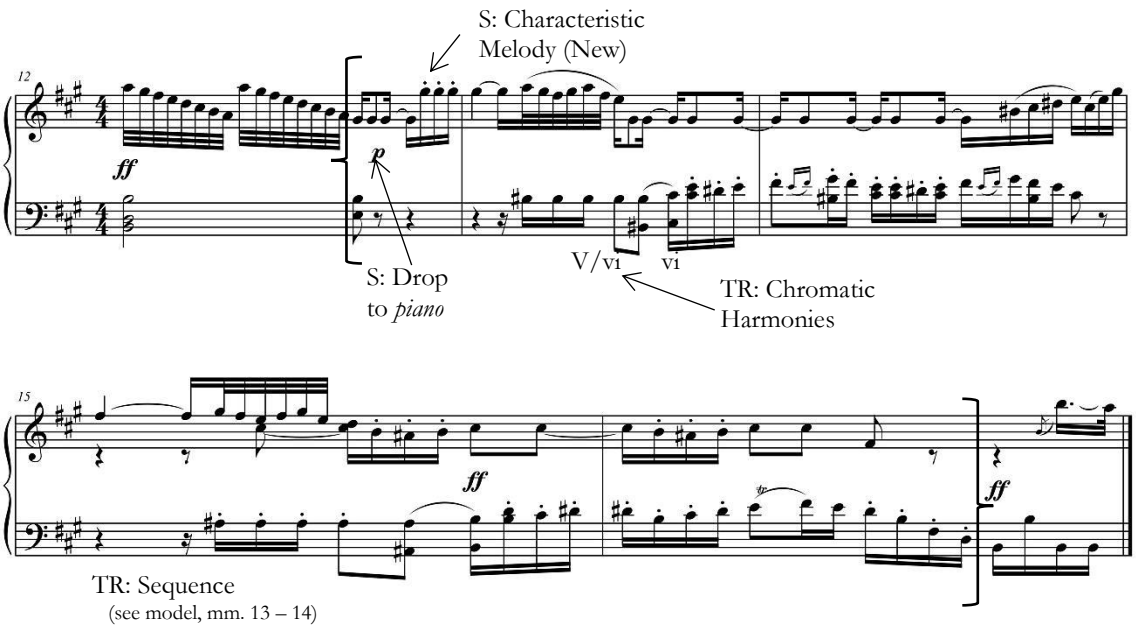

Figure 1.5 Boccherini, String Quartet in A Major, G. 213, i, Piano Reduction

To illustrate the separation signals, Figure 1.5 provides a piano reduction of a contrasting extrinsic phrase from the first movement of Luigi Boccherini's String Quartet in A Major, G. 213. Figure 1.6 shows the separation signals used by the extrinsic phrase and whether or not they occur in a strong state. In the table, open circles represent a separation (not strong), filled-in circles represent a strong separation, and blank spaces indicate a given signal's absence from the movement.

The extrinsic phrase in Boccherini's string quartet uses many of the separation signals described above. It arrives after a strong medial caesura in m. 13. Instead of concluding with a cadence, the extrinsic phrase ends with a dominant chord that forms neither a cadence nor a dominant arrival.[32] The use of a strong cadence at one boundary invokes the endings signal, but not in its strong state. The harmony signal occurs in its strong state. The extrinsic phrase avoids a strong tonic or dominant normative to the onset

[32] By "dominant arrival" I refer to Caplin's eponymous term that describes a strong arrival of a dominant chord that is not a cadence but can form a clear, strong ending to a passage or section. See Caplin, *Classical Form*, 133.

of the secondary theme at its outset, using chromatic harmonies arranged in a sequence instead.[33] The extrinsic phrase uses different melodic and rhythmic elements from the surrounding formal sections as well, creating separations in those domains. The drop in dynamics to *piano* at the onset of the extrinsic phrase, and the *forte* entrance of the secondary theme at m. 18 create a strong separation. These changes coincide with clear changes in texture that create a similar strong-state expression for that signal.

	SIGNAL	PRESENCE
TONAL/HARM. SIGNALS	Endings	○
	Tonality/Modality	
	Harmony	●
DOMAIN SIGNALS	Melody	○
	Rhythm	○
	Phrase Structure	
	Dynamics	●
	Texture	●
	Orchestration	

○ = SEPARATION; ● = STRONG SEPARATION

Figure 1.6 Separation Signals in Boccherini's G. 213

The separation signals make it clear that mm. 13–18 in Boccherini's string quartet form an independent, autonomous section within the exposition. Interpreting this passage as an abnormal continuation of the transition or as an equally non-normative onset of the secondary theme fails to describe the situation at hand. The extrinsic phrase occurs after the transition, but delays the onset of the secondary theme. This temporary denial of one's

[33] Note also that the anacrusis to m. 13 initiates the secondary theme on the third scale-degree of the secondary key, E major, suggesting that a tonic chord acts as the first harmony. The entrance of the remaining instruments on a chromatic harmony at m. 13 quickly dismisses this possibility. This sort of bait-and-switch tactic, wherein a seemingly normative anacrusis to the secondary theme becomes the onset of an extrinsic phrase occurs frequently.

expectations emphasizes the medial caesura and secondary theme onset, the tonal midpoint of the exposition.[34]

Summary of Chapter 1

This introduction defined "extrinsic phrase" as encompassing non-normative phrases inserted between normative transitions and secondary themes in early- and mid-eighteenth-century sonata forms. "Extrinsic phrase" provides a generic term that specifies no characteristic internal structures or endings (cadential or otherwise) and encompasses a variety of terminology from current theories of form, allowing one to compare seemingly disparate structure to find similarities of function and style. Extrinsic phrases establish themselves as autonomous structures within their respective movements in terms of syntax and function. The separation signals described in this chapter work individually towards the syntactic separation of the extrinsic phrase and work collectively towards the functional separation thereof.

Although recent studies of form include an abundance of terminology for phenomena that occur in sonata forms (particularly late-eighteenth-century examples), these theories face difficulty in convincingly describing some early- and mid-eighteenth-century passages. Additionally, the emphasis current theories of form place on understanding formal events through their internal structure and cadential articulation potentially leads to the under-recognition of similarly functioning phenomena supported by disparate structures.

Extrinsic phrases form an important aspect of sonata form that previous writers have tended to define through their internal structure. However, this creates the significant problems for analysis explored above. Recognizing a generic term for insertions between the

[34] Although this extrinsic phrase contains no shift in mode, it functions in a manner similar to the extrinsic phrases from Scarlatti's Keyboard Sonata, K. 473 and Boccherini's String Trio, G.79, discussed above.

transition and the secondary theme that form a part of neither of those sections helps an analyst not only in approaching more ambiguously articulated passages, but in identifying important compositional practices from a time period, region, composer, or group of composers. The remaining chapters of this dissertation examine how they fit into current and contemporaneous conceptions of sonata form (Chapter 2), analyze extrinsic phrases that function in four different manners (Chapters 3 and 4), and the final chapter (Chapter 5) explores trends and similarities in the extrinsic phrases' functions and their use of separation signals, and reconsiders their place within current theories of form.

CHAPTER 2

CONTEXTS

This chapter examines the extrinsic phrase in the context of early- and mid-eighteenth century Type 2 and Type 3 sonata forms. A close understanding of sonata form, especially the formal sections that surround the extrinsic phrase, allows one to better recognize extrinsic phrases when they occur. This also helps in the process of discerning an extrinsic phrase's function as well as its formal and stylistic implications. Contemporaneous and current accounts of sonata form offer alternative ways of understanding what I call extrinsic phrases. However, these fail to adequately describe the extrinsic phrase or, at times, the events of the exposition as a whole.

The first half of this chapter provides an overview of two sonata forms common in the early- and mid-eighteenth century and closely examines the extrinsic phrase's surroundings in an exposition. The overview of sonata forms begins with the Type 3 (or "textbook") sonata form, which contains an exposition, development, and recapitulation. This form remained popular throughout the Classical as well as the Romantic eras and will likely be familiar to the reader. I then consider the Type 2 sonata form, which acted as a normative option for sonata-form movements in the mid-eighteenth century. It uses the same exposition structure as the Type 3 sonata, but differs in later portions of the form. Although its popularity waned in later decades, the Type 2 sonata form remained an option for composers well into the nineteenth century.[1]

[1] For other examinations of the Type 2 sonata form see Hepokoski and Darcy, "The Type 2 Sonata," *Elements*, 353–87; Timothy L. Jackson, "The Tragic Reversed Recapitulation in the German Classical Tradition," *Journal of Music Theory* 40, no. 1, (Spring 1996): 61–111; and Andrew Davis, "Chopin and the Romantic Sonata: The First Movement of Op. 58," *Music Theory Spectrum* 36, no. 2 (2014): 270–94.

This portion of the chapter also closely examines the two formal sections that surround the extrinsic phrase in the exposition: the transition and the secondary theme. Because extrinsic phrases form a part of neither of these, detailed definitions of these sections are essential. Such definitions allow for the identification, for example, of the onset of the secondary theme as opposed to the presence of an extrinsic phrase. This examination of the transition and secondary theme also supports the functional separation of the extrinsic phrase, discussed in Chapter 1. The characteristics of transitions and secondary themes in this section are, compared to many current theories, strictly defined. This prevents extrinsic phrases from becoming subsumed into a more normative section of the form (usually the secondary theme). By defining what constitutes a transition versus an extrinsic phrase versus a secondary theme, an analyst can potentially avoid considering this less-common autonomous section of some sonata forms as a strange portion of a more normative function.

The second half of the chapter considers the extrinsic phrase's place in contemporaneous and current accounts of sonata form. This discussion focuses on three theories of form: the contemporaneous account of sonata form by Heinrich Christoph Koch, and the more-recent discussions of the form by Hepokoski and Darcy as well as Caplin. Koch's late-eighteenth-century description of sonata form provides a flexible model that focuses on the delineation of phrases (*Absätze*) and their endings. Although Koch's description potentially models a variety of formal variants, including the addition of an extrinsic phrase, it proves incompatible with the current understanding of sonata form.

The more-recent work of Caplin along with Hepokoski and Darcy informs the discussion of sonata form, the transition, and the secondary theme in the first half of the chapter. However, I reserve consideration of the various structures that overlap with the

extrinsic phrase that these authors describe for the final section of this chapter, which examines these structures, shows how they potentially overlap with an extrinsic phrase, and points out some ambiguities in both Caplin's and Hepokoski and Darcy's accounts of their respective structures that makes implementing their terminology confusing at times (regardless of the time period one is analyzing).

Sonata Form

All of the movements discussed in subsequent chapters occur in some version of sonata form. The terminology for sonata form used in the analyses primarily comes from the work of James Hepokoski and Warren Darcy.[2] Their book, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata*, discusses five "types" of sonata form. This dissertation examines movements in two versions of sonata form common during the early- and mid-eighteenth century: the Type 3 and the Type 2 sonata forms. The Type 3 or "textbook" sonata form features three larger sections: exposition, development, and recapitulation. The prominence of the Type 3 within music scholarship makes it an excellent vehicle for introducing several of the potentially-less-familiar terms from Hepokoski and Darcy's work.

Figure 2.1 diagrams a hypothetical, two-part exposition from a Type 3 sonata form. Hepokoski and Darcy consider this exposition "two-part" because it features both a primary and a secondary theme.[3] Two important cadential goals occur within this exposition. The

[2] Some of the terms, e.g. primary theme, transition, and so forth, are common in some form in most, if not all, present-day discussions of the form. Other terms, e.g. Essential Expositional Closure, originated with Hepokoski and Darcy's work. Although I use Hepokoski and Darcy's terminology for the larger sections of sonata form as well as for important, structural cadences, the discussion of internal phrase structures—including terms like "tightly-knit," "looser-knit," and "standing on the dominant"—comes from William Caplin's *Classical Form*.

[3] In Hepokoski and Darcy's theory, a secondary theme occurs only after a transition that concludes with a medial caesura. Other "continuous" expositions avoid the articulation of a clear secondary theme. In a recent article, William Caplin and Nathan Martin question the necessity of the term "continuous exposition" in light

most important, the Essential Expositional Closure or EEC, articulates a PAC in the secondary key, completing the tonal motion of the exposition—i.e. the motion from the primary key to the secondary key. The authors define the EEC as the first "satisfactory" PAC in the secondary key.[4] Although an important moment within the form, the EEC requires no special emphasis (e.g. *forte* dynamic, ornamentation, etc.) for recognition. The second important point in the articulation of the exposition, the medial caesura ('), "marks the end of the first part of the exposition…and it is simultaneously the highlighted gesture that makes available the second part [i.e. the portion of the exposition in the secondary key]."[5] In its most basic definition, the medial caesura consists of a gap that follows the transition and precedes the secondary key. A strong, emphasized cadence—usually a half cadence in either the home key or the secondary key—precedes the gap and forms the conclusion of the transition.[6] Hepokoski and Darcy often combine the medial caesura gap with this strong cadence in their analyses, referring to the collective as the "medial caesura."[7]

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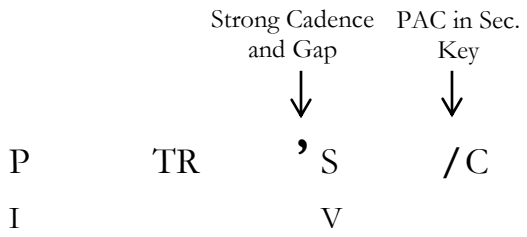
of Caplin's theories. See William E. Caplin and Nathan John Martin, "The 'Continuous Exposition' and the Concept of Subordinate Theme," *Music Analysis*, 35, i, (2016): 4–43, and also James Hepokoski, "Sonata Theory, Secondary Themes and Continuous Expositions: Dialogues with Form-Functional Theory," *Music Analysis Music Analysis*, 35, i, (2016): 44–74.

[4] "Satisfactory" refers to an EEC not followed by a repetition of prior secondary theme material. The authors call such repetition "reopening." See Hepokoski and Darcy, *Elements*, 120–24.

[5] Ibid., 25.

[6] A normative medial caesura articulation, particularly in the late-eighteenth century, features a strong, *forte* cadence and an associated gap. Later in this chapter, a continuum of medial caesura strengths is discussed.

[7] Hepokoski and Darcy treat the cadence that concludes the transition and the medial-caesura gap as separate entities at first, but often group them in analysis (e.g. using I:HC MC to denote a tonic half cadence preceding the medial-caesura gap).

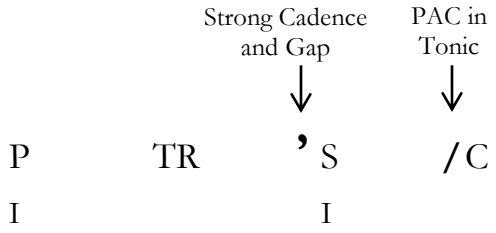


Abbreviations:

P	Primary Theme	S	Secondary Theme
TR	Transition	/	EEC
’	Medial Caesura	C	Closing Theme

Figure 2.1 Two-Part Exposition

Figure 2.2 diagrams the recapitulation of a hypothetical Type 3 sonata form, which contains similar cadential articulation. Instead of an EEC at the end of the secondary theme, the recapitulation contains an ESC, an Essential Sonata Closure. This PAC in the tonic key of the movement performs a task analogous to that of the EEC in the exposition. However, instead of concluding motion away from the home key, the ESC concludes the tonal work of the movement by confirming the return to the home key. Note that the recapitulation includes the tonal resolution, i.e. the return of non-tonic-key material from the exposition in tonic, of the secondary and closing theme. Differentiating between the tonal resolution and the remaining part of the recapitulation in a Type 3 sonata form is rarely an analytical necessity. However, the distinction between the terms “tonal resolution” and “recapitulation” becomes important in the discussion of the Type 2 sonata form.



Abbreviations:

P	Primary Theme	S	Secondary Theme
TR	Transition	/	ESC
’	Medial Caesura	C	Closing Theme

Figure 2.2 Two-Part Recapitulation

Figure 2.3 provides a score to the exposition of the third movement of Mozart's Piano Sonata No. 1 in C Major, K. 279. This exposition presents normative examples of both the medial caesura and the EEC (as well as the other sections of the two-part exposition) for reference.[8] The primary theme, a period in mm. 1–9, opens the exposition and establishes tonic, concluding with a PAC in the home key. The transition follows, leading to a strong half cadence in the secondary key, G major. A pause in all voices follows in m. 22. Several elements emphasize the medial caesura: the constant sixteenth notes that occurred throughout the transition halt at the medial caesura cadence; increased harmonic motion in mm. 11–17 halts with the arrival of the dominant (D major) at m. 18; and a drop from *forte* to *piano* accompanies the onset of the secondary theme. The secondary theme, mm. 23–38, ends with the Essential Expositional Closure, or EEC. The EEC here occurs at a *forte* dynamic level, but receives no other significant emphasis. A closing section in measures 38–56 follows, concluding the exposition.

[8] This section provides a cursory overview of the sonata exposition and the sections that precede and follow an extrinsic phrase. A later section of this chapter examines the normative characteristics of the transition and the secondary theme.

The Type 3 sonata also clearly demonstrates Hepokoski and Darcy's idea of "rotation," a concept important to their discussion of sonata forms (and other forms for that matter), regardless of style and era. "Rotational structures are those that extend through musical space by recycling one or more times—with appropriate alterations and adjustments—a referential thematic pattern established as an ordered succession at the piece's outset."[9] In the familiar "textbook" or Type 3 sonata, the relationship between the exposition and the recapitulation offers a simple example of a referential rotation and its later recycling.[10] However, the rotation principle also extends to the development, which often uses parts of the thematic material from the exposition in the order they were presented there. Although the difference between the referential rotation and subsequent rotations can be drastic,[11] this rarely occurs in movements from the early- and mid-eighteenth century.

[9] See Hepokoski and Darcy, *Elements*, 611. Hepokoski also explains the use of rotational form in non-sonata contexts "Rotations, Sketches, and the Sixth Symphony," in *Sibelius Studies*, edited by Timothy L. Jackson and Veijo Murtomäki, 332–51 (Cambridge: Cambridge University Press, 2001).

[10] Here the alterations between rotations may be as simple as the transposition of the secondary and closing themes to the home key. Other rotations, like the development of the Type 3 sonata, feature more extensive changes.

[11] Hepokoski and Darcy argue that "successive rotations in music are often subject to telling variation: portions of them may dwell longer on individual modules of the original musical arrangement; they may omit some of the ordered modules along the way; or they may be shortened, truncated, telescoped, expanded, developed, decorated, or altered with *ad hoc* internal substitutions or episodic interpolations" See *Elements*, 611.

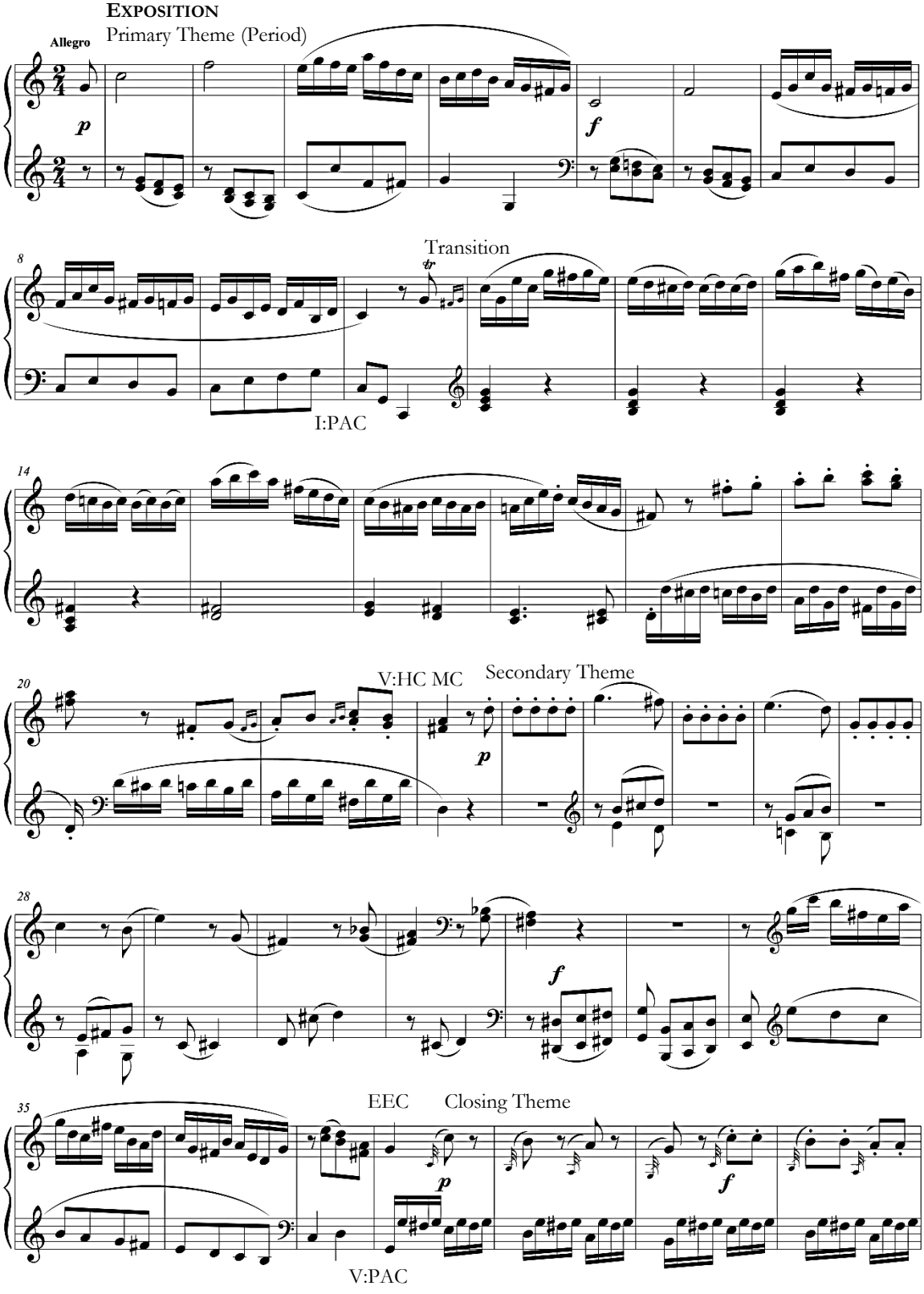


Figure 2.3 Mozart, Piano Sonata in C Major, K. 279, iii, Exposition

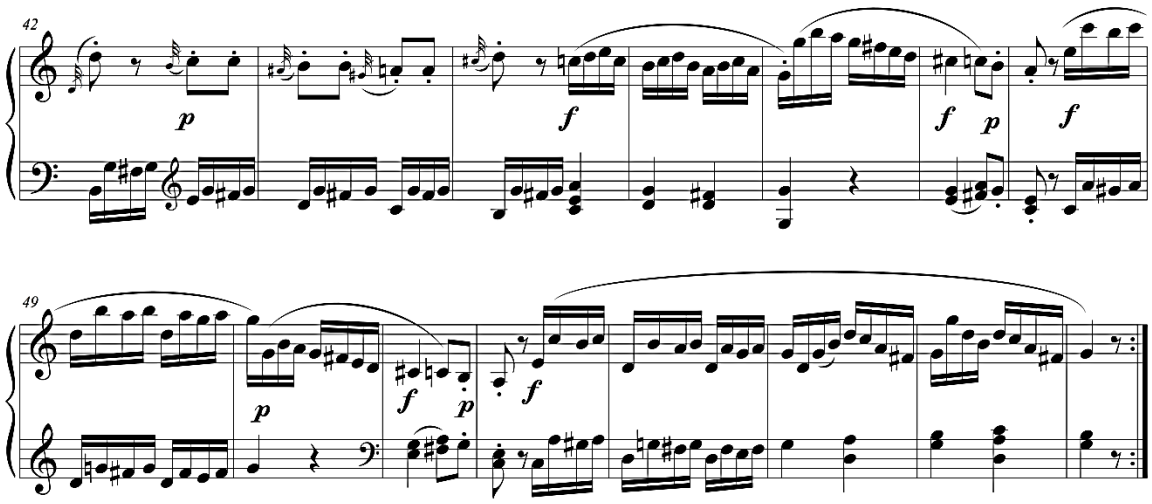
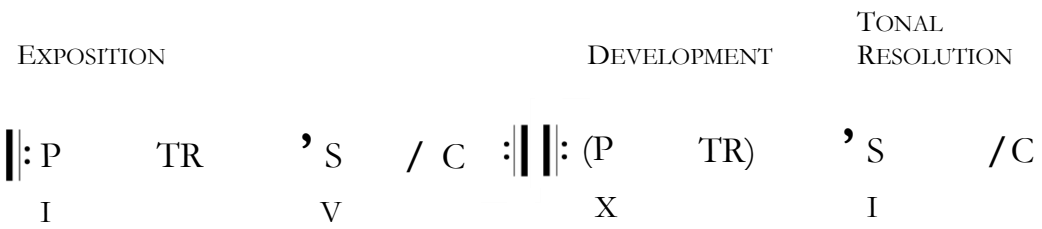


Figure 2.3, continued

The Type 3 sonata form discussed above acted as one of two common formal options for early- and mid-eighteenth-century works. The Type 2 sonata form uses the same model for the exposition as the Type 3; the differences between the two forms occur after their respective expositions.[12] Figure 2.4 diagrams a hypothetical Type 2 form. Unlike the Type 3 form, the Type 2 sonata form uses only two rotations of material: the exposition and the second rotation. This latter rotation differentiates the Type 2 from all other sonata forms. It begins with the development of the primary theme and transition and concludes with the tonal resolution of the secondary and closing themes into a single section.[13] By way of contrast, recall that a Type 3 sonata contains two rotations after the exposition, one for the development of all the thematic material and one for the return of said material in the tonic key.

[12] Note that the authors also use this expositional model for the Type 1 sonata or "sonata without development."

[13] These functions come from William Caplin and do not always denote the larger sections we tend to associate them with. "[In other theories,] a given function is understood to take place within the confines of a single group. In the theory presented [in *Classical Form*],…formal functionality arise from harmonic, melodic, and rhythmic processes that are not necessarily the same as those that create the work's grouping structure. Function and group are often congruent, but this need not always be the case." See *Classical Form*, 4.



Abbreviations:

P	Primary Theme	S	Secondary Theme
TR	Transition	/	EEC or ESC
’	Medial Caesura	C	Closing Theme

Figure 2.4 The Type 2 Sonata Form

In many early- and mid-century Type 2 movements, the second rotation begins with the development of material from the primary theme or with a restatement of all or part of the primary theme in the secondary key. Other Type 2 examples open their development sections with new material. Towards the end of the development, all or part of the transition from the exposition usually returns. The repetition includes the medial caesura. The tonal resolution, the repetition of the secondary and closing themes in the tonic, follows.[14] The design of the second rotation creates a "crux point" after which measure-for-measure correspondence between the second rotation and the exposition occurs.[15] These correspondence measures usually last until the end of the tonal resolution.

[14] Hepokoski and Darcy rightly argue that the term "recapitulation" denotes a complete repetition—i.e. one beginning with the primary theme—of the referential rotation in the tonic. "Tonal resolution," used for the latter half of the Type 2's second rotation, denotes the return of all previously-secondary-key material in the tonic. The lack of a traditional recapitulation, and therefore the lack of a return of the primary theme in tonic before the tonal resolution, separates the Type 2 from all other sonata form variants. The primary theme may return in a coda following the tonal resolution of the secondary and closing themes. See *Elements,* 382–83.

[15] Some works use newly-composed transitions. In these cases, correspondence measures with the exposition usually begin immediately following the medial caesura and the crux point moves to that later location. Most sonata forms contain a crux point. In the Type 3 form, this point occurs at a similar location: just before or at the point where the tonal resolution occurs.

Figure 2.5 shows the first movement of Mozart's Piano Sonata No. 4 in E-flat Major, K. 282, a brief, but quite normative, Type 2 sonata form. The example annotates the various parts of both rotations, but this discussion focuses on the second rotation, the less familiar element of the form. The second rotation of the movement begins with the development at m. 16. This opens with a motivic reference to the primary theme that immediately leads to new material.[16] This new material continues to m. 24, at which point a transposed version of m. 7, part of the transition from the exposition, returns. Numbers enclosed in parentheses, like the "7" at m. 24 show correspondence measures—measures of this later rotation that use the same material (often transposed) as the exposition.[17] These correspondence measures continue until m. 34, where the movement's coda begins. The return of the transition material at m. 24 leads to the medial caesura at m. 26 after which the secondary theme returns in mm. 27–33, transposed to the tonic. These measures encompass the entirety of the tonal resolution as the movement contains no closing theme. The coda, an optional appendage to the form as a whole, concludes the movement.[18]

In this movement, the primary theme never returns after its appearance in the exposition—apart from a single reference at the beginning of the development. In other movements, including the first movement of Mozart's Piano Sonata in D Major, K. 311, the primary theme returns in a coda, following the conclusion of the tonal resolution. This return leads some to understand this as a "reversed recapitulation."[19] However, such

[16] Note that some of this material, especially the syncopated elements, bears similarities to the primary theme.
[17] The use of numbers enclosed in parentheses to represent correspondence measures does not come from Hepokoski and Darcy. However, it provides a simple way to compare later rotations to the exposition.
[18] The coda's placement outside of the repeat signs supports its reading as a separate addition and not something akin to an added closing theme.
[19] Hepokoski and Darcy point out the problems with this term and the idea of "mirror forms" during their chapter discussing the Type 2 sonata: "On both historical and generic grounds we reject the twentieth-century concepts of mirror form and the reversed recapitulation. The works commonly adduced as sonatas displaying these properties…are more accurately construed as expansions of Type 2 structures in which the late

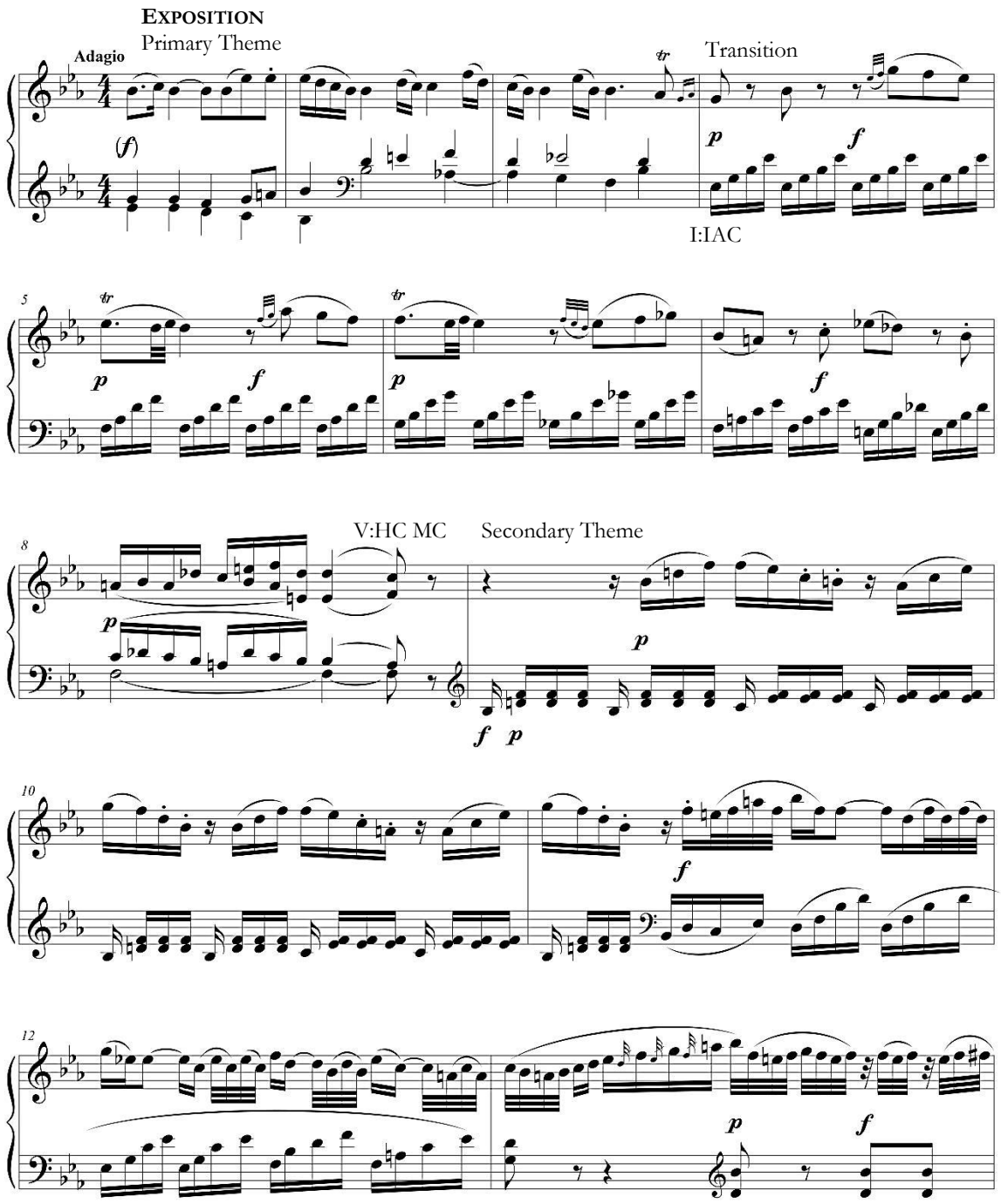


Figure 2.5 Mozart, Piano Sonata in E-flat Major, K. 282, i

appearance of P often has the quality either of a coda to the second rotation or of a late, code-rhetoric interpolation within its closing zone." See *Elements*, 368–69.

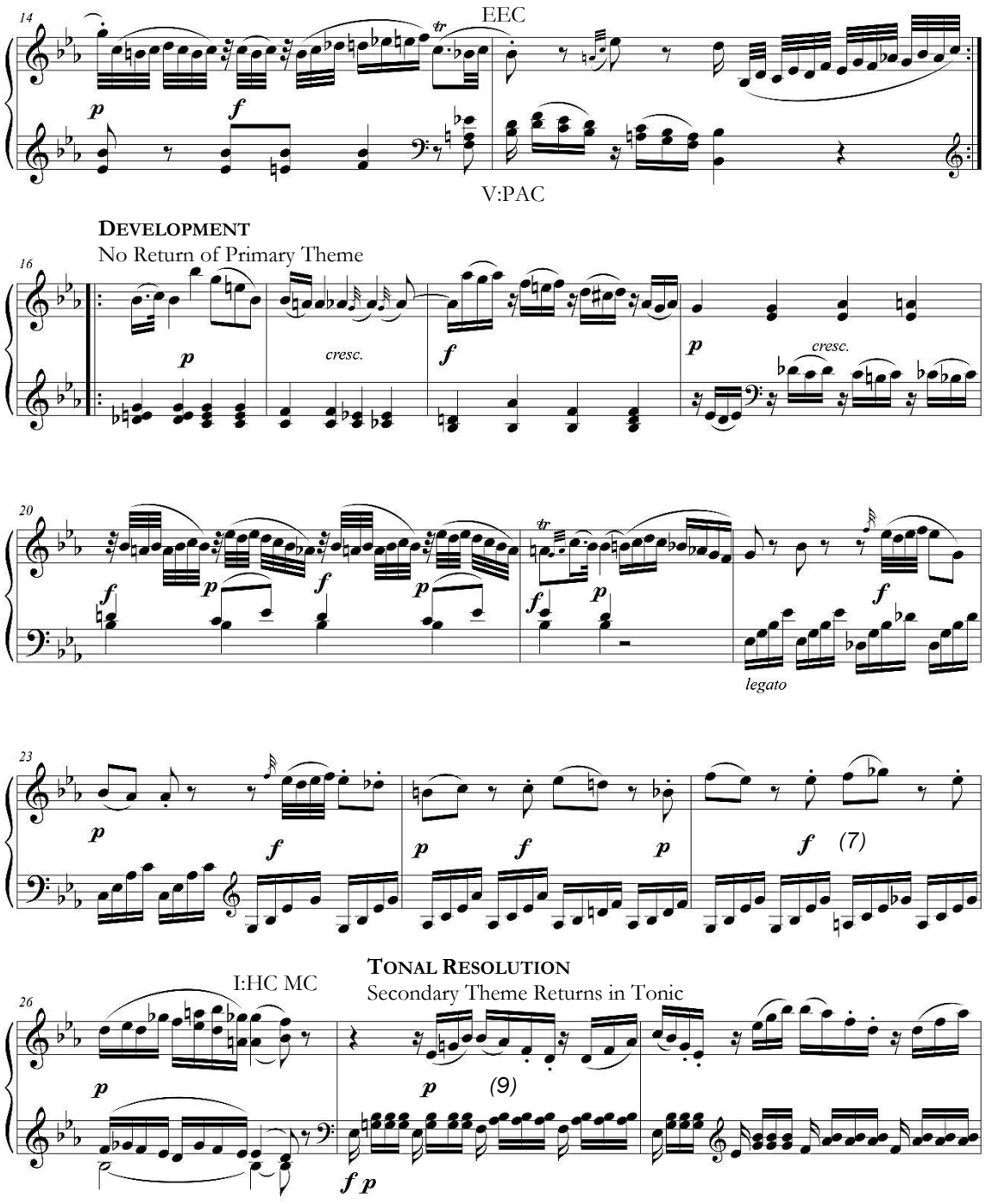


Figure 2.5, continued

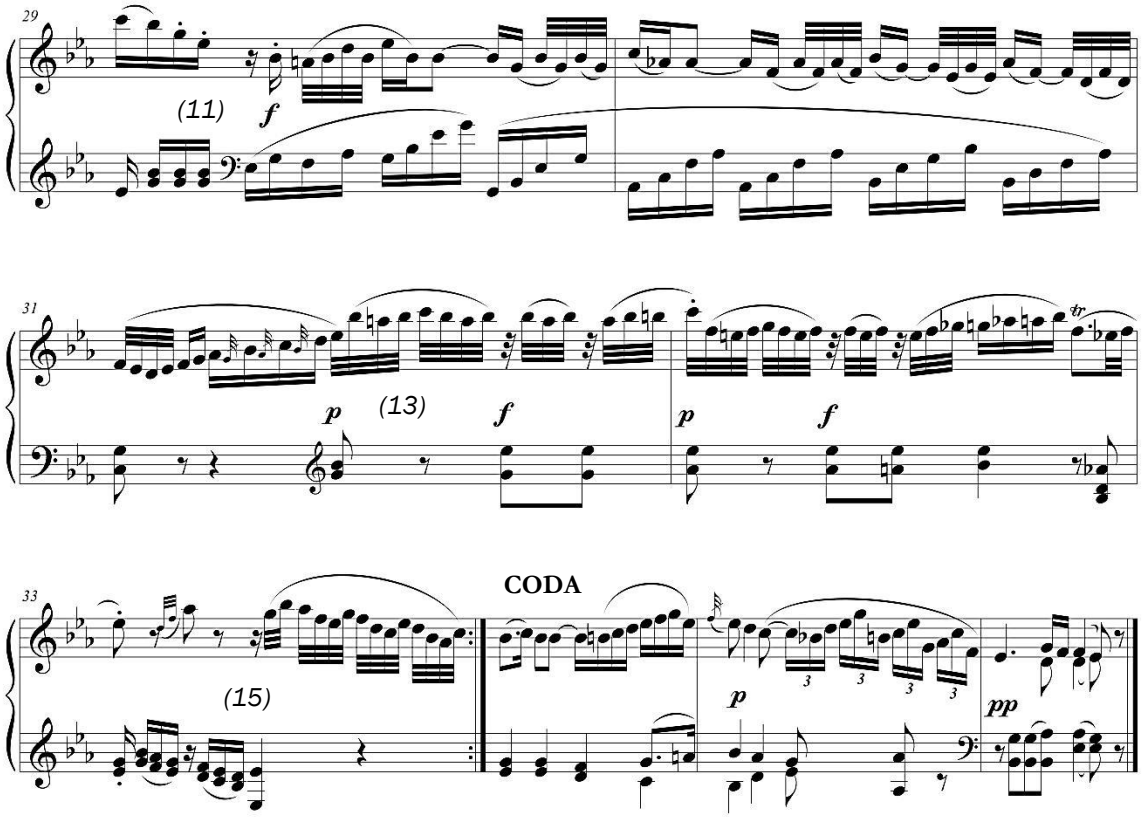


Figure 2.5, continued

codas occur less commonly in the shorter movements of early- and mid-eighteenth-century composers. The Type 2 sonata acts as a more normative formal option in the early- and mid-eighteenth century compared with other later periods: "the Type 2 structure became a common option in mid-eighteenth-century sonata-form compositions [and] is readily found among Italian and Italian-influenced composers…, in the works of the Mannheim School…, and in those of early Mozart."[20] Hepokoski and Darcy provide a lengthy list of composers

[20] Ibid., 359.

who used the form including C.P.E. Bach, Johann Stamitz, J.C. Bach, and Joseph Haydn, among others.[21]

Although a normative option, the Type 2 form—particularly the early- and mid-eighteenth-century examples contained herein—remains relatively under-investigated. Rey M. Longyear, for example, examines "binary sonata form" movements (a term which generally encompasses Hepokoski and Darcy's Type 2 sonata forms).[22] Analyzing the works of C.P.E. Bach, J.C. Bach, Christoph Willibald Gluck, and others, he elucidates several common characteristics that allow an analyst to identify a movement as binary while discussing the compositional practice of these composers. Timothy L. Jackson's article explores the potential programmatic significance of the Type 2 when used after approximately 1770, particularly in the mid- and late-nineteenth century.[23]

The Extrinsic Phrase's Surroundings

Recognizing the location and function of an extrinsic phrase depends as much on understanding the characteristics and functions of the sections that surround it in the exposition as understanding the extrinsic phrase's own characteristics. The following discussion undertakes a close examination of the transition and the secondary theme, focusing on the characteristics of each. In the secondary theme's case, this includes what constitutes the onset of a secondary theme following the medial caesura. The inclination to

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[21] In their chapter on the Type 2 form, Hepokoski and Darcy describe the forms of Domenico Scarlatti's sonatas (several of which are analyzed in subsequent chapters) as "binary sonatas" (n.b. not to be confused with Rey M. Longyear's "binary variants" of sonata form). Later in the same section mention that they plan to discuss "more developed models of the Type 2 sonata" in Scarlatti's work, intimating that at least some of the keyboard sonatas form examples—no matter how early in the stages of development—of the Type 2 sonata. See *Elements*, 354 and 358, respectively.

[22] See Rey M. Longyear, "Binary Variants of Early Classic Sonata Form," *Journal of Music Theory* 13, no. 2 (Winter 1969): 162–85.

[23] See Timothy L. Jackson, "The Tragic Reversed Recapitulation in the German Classical Tradition," *Journal of Music Theory* 40, no. 1, (Spring 1996): 61–111. Further discussions of the Type 2 form occur in studies of specific composers such as Eugene Wolf's 1972 dissertation on the symphonic movements of Johann Stamitz. See Eugene K. Wolf, "The Symphonies of Johann Stamitz: Authenticity, Chronology, and Style" (PhD diss., New York University, 1972).

describe extrinsic phrases as "non-normative extensions of the transition" or "non-normative onsets of the secondary theme" obscures the unique functions extrinsic phrases perform within the movement. This simultaneously undermines the function of the section one misidentifies as containing the extrinsic phrase.[24]

Hepokoski and Darcy as well as Caplin's discussions of sonata form discuss the end of the transition and the onset of the secondary theme in terms of contrast. Hepokoski and Darcy especially emphasize this point saying:

> immediately following the MC…one expects to find the launching of a characteristic secondary theme (S)…one of the most common types features a sudden change of texture after the MC-point, usually combined with a precipitous drop from an energetic *forte* to *piano* and the unfolding of a melody articulating the second expositional key. This abrupt dynamic/textural change suggests the immediate emergence of a normative rhetorical candidate for S-status (the onset of the second part of the exposition).[25]

Caplin's discussion of transitions versus subordinate themes also sets forth an opposition, but between what Caplin calls tightly-knit and loose structures.[26] Tightly-knit structures, like the secondary theme, are "characterized by the use of conventional theme-types [e.g. period, sentence], harmonic-tonal stability, a symmetrical grouping structure, form-functional efficiency, and a unity of melodic-motivic material."[27] Loose structures are "characterized by the use of non-conventional thematic structures, harmonic-tonal instability (modulation,

[24] That is, by identifying an extrinsic phrase as, say, a non-normative secondary theme onset, one ignores the secondary theme's function—to establish and confirm the secondary theme—which the extrinsic phrase plays no part in.
[25] See Hepokoski and Darcy, *Elements*, 36.
[26] Caplin argues in favor of a continuum of tight-versus-loose structures. On this continuum, the secondary theme is often more loose than the primary theme, but usually more tightly-knit than the transition. For a more specific discussion of what Caplin calls the "criteria…for classifying formal units (of any size or function) in the tight-knit/loose continuum" see Caplin, *Classical Form*, 84–85.
[27] See Caplin, *Classical Form,* 257. By "form-functional efficiency," Caplin means that the function of the passage in question is clear and that the passage avoids both functional ambiguity and "redundancy through repetitions, extensions, expansions, and interpolations." Ibid., 85.

chromaticism), an asymmetrical grouping structure, phrase-structural extension and expansion, form-functional redundancy and a diversity of melodic-motivic material."[28]

Regardless of whether one prefers to think of the transition in terms of Caplin's loose-knit structure or Hepokoski and Darcy's "energy gain," the transition functions to destabilize the primary key—with or without modulating—in preparation for the onset of the secondary theme.[29] Harmonically, the process of destabilization occurs through the use of chromaticism, sequences, or prolongations of the dominant (of either the primary or the secondary key, depending on whether or not the transition modulates). Often, the harmonic rhythm increases in comparison to the primary theme during the first part of the transition, often decreasing immediately before the articulation of the cadence that precedes the medial caesura.

Melodically, the transition may use material taken from the primary theme or it may use new material.[30] Caplin notes that "towards its end, [the transition] liquidates the characteristic melodic-motive material in order to 'clear the stage' for the entrance of the subordinate theme."[31] This "liquidation" usually involves the articulation of comparatively shorter melodic gestures towards the conclusion of the transition. The transition often features an increase in the surface rhythmic activity—i.e. in the individual rhythms articulated by various voices—and an overall increase in dynamic level towards the louder end of the dynamic spectrum.

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[28] Ibid., 255.
[29] Although they never define the term explicitly, Hepokoski and Darcy use the idea of "energy gain" to denote the combination of the various processes discussed here that destabilize the primary key.
[30] In the case of the latter, Caplin says that transitions "less often contain melodic material that would be characterized as tuneful…and frequently feature…arpeggiations and scale patterns projecting a 'brilliant style'" as characterized by Ratner. See Caplin, *Classical Form*, 125. For a discussion of Ratner's "brilliant style," see Leonard Ratner, *Classic Music: Expression, Form, and Style*, (New York: Schirmer, 1980), 19–20.
[31] See Caplin, *Classical Form,* 125.

The transition usually ends with a strong half cadence in either the primary or secondary key. This cadence often receives added emphasis in the form of trills, hammerblows, or a voice or voices falling an octave at the cadence-point (octave drop).[32] A pause, the medial caesura, follows this cadence. The medial caesura gap usually consists of silence in all voices, but can occur in all-but-one voice (the remaining voice connecting the transition to the secondary theme) or via held notes in some voices.[33] The transition, cadence, and medial caesura gap "provide[ ] a firmly established platform from which the secondary theme, launching part 2, may emerge" and create the expectation that a normative secondary theme follows the first half of the exposition.[34]

Hepokoski and Darcy differ from Caplin in their consideration of what occurs after the transition in an exposition. The former use the term "secondary theme" while the latter uses "subordinate theme." In particular, these authors differ in when they consider a secondary or subordinate theme to occur and where that theme ends. Caplin, in general, favors a broader definition of the subordinate theme's location[35] whereas Hepokoski and Darcy prefer a more restrictive definition dependent (usually) on the articulation of the medial caesura and the EEC.[36]

As the earlier discussion of sonata form shows, I use Hepokoski and Darcy's term, "secondary theme," here. In some of the movements discussed in subsequent chapters, it

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[32] "Hammerblows" refers to the act of repeating the final chord of a cadence at a *forte* dynamic several times. For more on this practice see Hepokoski and Darcy, *Elements*, 34.
[33] In this latter case, the medial caesura is not a gap in sound, but a gap in motion usually created by a combination of rests in some voices and held notes in others.
[34] See Hepokoski and Darcy, *Elements*, 25.
[35] Caplin allows for weaker conclusions to the transition after which the subordinate theme begins. See Caplin, *Classical Form*, 131–35. Caplin, along with Nathan Martin, states that after the transition "one or more *loosely organised* subordinate themes then appear, each confirming the new key with a PAC." See Caplin and Nathan John Martin, "The 'Continuous Exposition' and the Concept of Subordinate Theme," *Music Analysis*, 35, i, (2016), 6–8.
[36] Hepokoski and Darcy recognize a secondary theme without a preceding medial caesura in the late-eighteenth century only in rare cases and consider those expositions without medial caesuras to be "continuous expositions." See Hepokoski and Darcy, *Elements*, 117 footnote 1, (secondary themes without medial caesuras) and 51–64 (continuous expositions).

can occur that a transition fails to end with a strong medial caesura. In these cases, I still understand the extrinsic phrase and, eventually, the secondary theme to occur thereafter. This reading does not stray as far from Hepokoski and Darcy's ideas as it would seem. In their chapter on continuous expositions, the authors discuss weakly articulated medial caesuras and secondary themes in mid-eighteenth century movements:

> In addition, somewhat common in early sonatas (from the 1740s, 1750s, and 1760s) is the expositional situation of an apparently continuous exposition that "almost" produces an MC and second theme that "almost" manages to divide the structure into a two-part exposition…In such cases…one should not force a decision into one rigid binary category or the other…Instead, one explicates what is actually there. Toward this end the more normative categories of Sonata Theory…help to provide the vocabulary to describe the nuances of the situation in question.[37]

This flexibility in terms of the medial caesura's strength becomes important in Chapter 4 where I examine a group of extrinsic phrase's that occur after problematic transitions.

Although Hepokoski and Darcy differ from Caplin in their conception of the secondary theme's formal boundaries, the authors have similar opinions about the characteristics of the secondary theme, particularly its onset.[38] In his article "Sonata Form and the Problem of Second-Theme Beginnings,"[39] Mark Richards summarizes the characteristics of a secondary theme onset, from his article outlining his "seven contributing signals for second-theme beginnings," shown in Figure 2.6.[40] In the late-eighteenth century, Richards argues, all or most of these signals appear in strong state, i.e. the strongest incarnation of each signal. Richards establishes two "requisite" signals and five "reinforcing" signals. Requisite signals "describe the ST [secondary theme] as a form-functional theme set in the new key and are both present to some extent in all STs [secondary themes];"

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[37] See Hepokoski and Darcy, *Elements*, 63–64.
[38] From this point forward, I use the term "secondary theme" when discussing the concept as it relates to subsequent analyses. Note, however, that this concept combines elements of both "secondary theme" (Hepokoski and Darcy) and "subordinate theme" (Caplin).
[39] See Mark Richards, "Sonata Form and the Problem of Second-Theme Beginnings," *Music Analysis* 32, 1 (2013): 3–45, hereafter cited as: Richards, "Second-Theme Beginnings."
[40] For the author's original table, see Richards, "Second-Theme Beginnings," 4.

reinforcing signals "serve to articulate the ST [secondary theme] and set it apart from the preceding transition."[41]

	NO.	SIGNAL NAME	STRONG STATE
Requisite Signals	1	Tonic Harmony of New Key	I or I6 as first harmony or first downbeat
	2	Beginning and End Functions	Tonic based beginning, Cadential ending
Reinforcing Signals	3	Preparation by Phrase-Ending Chord	Dominant in I or V (III or v in minor) or other prepared key
	4	Textural gap of MC	Literal gap, Single voice pickup, or caesura fill
	5	Change in Texture	Present
	6	Change in Dynamic	Present
	7	Characteristic Melodic Material	Present

Figure 2.6 Seven Signals for S-Onset, After Richards (2013)

Richards's first two signals are modeled after Caplin's description of a subordinate theme. Signal 1 states that the tonic of the new key occur at or near the onset of the secondary theme; in a strong state a root-position or first-inversion tonic occupies either the first harmony of the secondary theme or the theme's first downbeat (thereby allowing for a dominant anacrusis). Signal 2 relates to the general organization of the secondary theme. Although in Caplin's theory, subordinate themes are more loosely organized than primary themes, they still have clear beginning and end functions. In this signal's strong state the beginning, or initiating, function is tonic-based, and the ending function of the phrase is cadential (articulating a PAC in the secondary key).[42]

[41] Ibid., 4. Note that several of Richards's reinforcing signals make an appearance later in a similar set of signals I design for separating the extrinsic phrase from both the transition and the secondary theme.
[42] Hepokoski and Darcy pose similar requirements for the secondary theme, but state them in a different manner: "regardless of its phrase-structure, one thing is *de rigueur*: S must be harmonically and tonally stable. If not—if S is tonally unstable, or if it is undergirded with a dominant pedal or some other tension-producing device—then one is dealing with the deformation of a generic norm." See *Elements*, 129.

Signals 3 and 4, the "preparation by phrase-ending chord" and the "textural gap of a medial caesura" refer to the end of the transition. However, in expositions containing extrinsic phrases, the extrinsic phrase, not the transition, immediately precedes the secondary theme. For the purposes of the analyses in subsequent chapters, I consider the "phrase-ending chord" signal to occur at the end of the extrinsic phrase, which immediately precedes the onset of the secondary theme (the transition precedes the extrinsic phrase). The extrinsic phrase's conclusion on a dominant or tonic chord in the secondary key is in a strong state when that ending occurs as part of a cadence. Although a gap in all or most voices sometimes appears between the extrinsic phrase and the secondary theme, this gap rarely occurs in the context of a medial-caesura effect (i.e. a situation wherein a strong cadence and transition-like section precede the gap).

The remaining three signals create contrast between the end of the transition and the onset of the secondary theme (and, in the context of the analyses below, perform the same task between the end of the extrinsic phrase and the onset of the secondary theme). This includes changes in texture and dynamics along with the presence of "characteristic melodic material." The final signal refers to the "sounding [of] melodic material which will grasp our attention through its characteristic nature, especially when combined with other signals."[43] For these signals, their presence acts as their strong-state version.

Although useful in many contexts, several of Richards's signals describe either the final moments of the transition that (in normative contexts) precede the secondary theme or they describe the relationship between the transition's music and that of the secondary theme (see Signals 5 and 6). For the purposes of this study, the secondary theme requires a

[43] See Richards, "Second-Theme Beginnings," 12.

definition based on its properties alone and not its relationship to other sections, including both the transition and the extrinsic phrase.

	Quality	Commentary
1	Begins and ends in the secondary key and mode	Allows for non-normative, unprepared keys *provided* the theme begins and ends in them "Wrong" mode beginnings not necessarily part of S-theme
2	Harmonically stable opening that avoids "loosening" devices	Tonic chord as first harmony or downbeat
3	Opening of theme avoids "loosening devices	Avoids looser structures, e.g. sequences, standing on the dominant, incomplete structures
4	Reappearance in later rotations	S-theme onsets that return in tonic in later rotations (i.e. a recapitulation or tonal resolution) are stronger

Figure 2.7 Four Qualities of a Secondary Theme Onset

Figure 2.7 provides a table defining four qualities of a secondary theme onset as it occurs in the exposition used in subsequent analyses. This figure expands Richards's first two signals in order to delineate what the secondary theme includes and, more important for distinguishing the secondary theme from the extrinsic phrase, what the secondary theme avoids. The first quality concerns the key and mode of the secondary theme and places emphasis on the boundaries of the theme. This allows the secondary theme to occur in a key not prepared by the transition (including non-normative key choices) provided that the theme begins and ends in that key. Unprepared secondary keys that persist and attain a PAC become normalized over the course of the exposition. This includes, for example, minor-mode sonata forms whose non-modulating transition precedes a secondary theme in the

mediant as well as secondary themes in non-normative, unprepared keys (e.g. a secondary theme in the submediant in a major-mode sonata form).

This quality also stipulates that the secondary theme begins and ends in the same mode. For the purposes of this dissertation, this prevents extrinsic phrases that occur in the "wrong" mode (i.e. a minor-mode extrinsic phrase preceding a major-mode secondary theme) or those that begin in the prepared key but modulate to a difference key from inclusion within the boundaries of the secondary theme.[44]

The emphasis on the secondary theme's beginning in the "correct" mode in the second portion of the definition may seem odd to some. Current scholarship typically understands changes in mode as a non-structural coloration of the larger key complex, i.e. no modulation occurs from a major-mode key to its parallel minor or vice versa. Historically, however, music scholars were divided on whether or not such a change in mode constituted a modulation. Writing in 1723, Jean-Philippe Rameau argued that different modes had different characters, but did not consider a change in mode (with no change of pitch center) a change in key.[45] Three decades later, in 1752, Joseph Riepel made a similar argument.[46] Two later music theorists, on the other hand, considered motion from a major key to its parallel minor (or vice versa) a modulation. Johann Philipp Kirnberger not only considered motion from a major key to its parallel minor a modulation, but understood it as a "second

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[44] Hepokoski and Darcy, and Rosen describe the first situation here as a common one within the mid-eighteenth century, but both include it within the secondary theme. The latter situation creates a "three-key exposition," a device whose use by late-eighteenth-century and early-nineteenth-century composers receives considerable attention.

[45] "Notice that we do not separate the term mode from the term key when a change between major and minor is found on the same tonic note…For example, when we pass from a gay theme to a sad one…we can say that the key does not change at all, even though the mode changes." See Jean-Philippe Rameau, *Treatise on Harmony*, 1722, trans. Philip Gossett (New York: Dover, 1971), 162–63.

[46] See John Walter Hill, *Joseph Riepel's Theory of Metric and Tonal Order, Phrase and Form: A Translation of His* Anfangsgründe zur muiscalischen Setzkunst, *Chapters 1 and 2 (1752/54, 1755) with Commentary*, (Hillsdale, NY: Pendragon Press, 2014), 152. There, *Discantista* (the student in Riepel's Socratic dialogue) mentions the different keys and the "gentler and softer" quality of the minor mode. *Praeceptor* (the teacher) responds, asking "What does the primary tone have to do with the third?"

level distant modulation" which "should always be approached from a [less-distant] key."[47] Anton Reicha echoed this sentiment in the early-nineteenth century, listing tonal motion from C major to C minor, for example, as a modulation.[48]

Regardless of whether or not one equates a change of mode with a change of key (tonal center), the effect of beginning the passage after the medial caesura in the unprepared minor mode when the major mode is expected remains the same. At this point in the form, the intrusion of the minor mode suggests that the secondary theme might not conform to the generic expectations for the form. If the minor-mode version of the secondary key becomes normalized, per the first part of the definition shown in Figure 2.7 it can act as the secondary key. However, if the exposition shifts to the major-mode version of the key for one or more phrases and articulates an EEC in that key, the opening passage in the unprepared minor mode acts as a temporary diversion.

The second quality in Figure 2.7 specifies that the secondary theme begin in a tonally stable manner with the tonic chord as the first harmony or first downbeat. Some of the extrinsic phrases discussed in later chapters begin in the secondary key, but with non-normative harmonies or harmonic progressions that fail to establish the secondary key. This portion of the definition requires the onset of a secondary theme to establish the secondary key.[49]

The third portion of my definition owes a debt to both Caplin's *Classical Forms* and to Hepokoski and Darcy's *Elements of Sonata Theory*, both of which argue that a secondary theme avoid looser phrase structure devices, especially at its onset.[50] This includes sequences,

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[47] See Johann Philipp Kirnberger, *The Art of Strict Musical Composition*, trans. David Beach and Jurgen Thym (New Haven: Yale University Press, 1982), 140.
[48] See Anton Reicha, *Treatise on Melody*, Trans. Peter M. Landey (Hillsdale, NY: Pendragon Press, 2000), 10.
[49] Richards includes a similar signal, Signal 1, in his work. See Richards, "Second-Theme Beginnings," 5–6.
[50] The reference to "loose phrase structure" comes directly from Caplin. Hepokoski and Darcy use different language to express a similar idea.

standing on the dominant, and incomplete phrase structures. The use of these destabilizes the secondary key before it can be established. The combination of this quality with the second ensures that the onset of the secondary theme establishes the secondary key (and mode) before diverging.

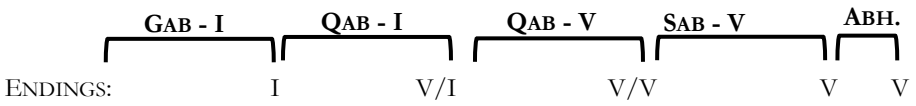
The final portion of the definition looks at the relationship between the secondary theme's appearance in the exposition and its return, in tonic, in a later rotation. This portion is left purposefully vague to allow for a flexible approach to potential secondary-theme onsets that fail to return during the tonal resolution. Rather than argue that the omission of such a section signifies its interpretation one way or another, this definition implores the analyst to consider the section's surroundings and function in the exposition as well as later rotations.

The Extrinsic Phrase and Sonata Form

Extrinsic phrases occupy a nebulous point in sonata form: they occur—but only sometimes—between two requisite sections of the exposition, the transition and the secondary theme. Because of this, they occupy a similarly ambiguous place in various formal theories. Writing in the late-eighteenth century, Heinrich Christoph Koch provides an early description of sonata form that focuses on the tonal plan of the form. The flexibility of this account allows it to potentially encompass extrinsic phrases. Two current discussions of sonata form—that of Hepokoski and Darcy as well as that of Caplin—discuss various structures that overlap with the extrinsic phrase, but in most cases do not explicitly allow for an intervening phrase between the transition and the secondary theme.[51]

[51] A later section discusses the structures these authors identify that potentially overlap with extrinsic phrases. I say that these authors do not allow for an intervening phrase "in most cases" because some of the aforementioned structures could be understood as acting as similar insertions (regardless of whether or not Caplin or Hepokoski and Darcy would include them as such).

Figure 2.8 presents a diagram of the exposition of a sonata form according to Koch's description, which likely seems somewhat foreign to a modern reader. Koch delineates his form based only on the harmonic goals of each section and includes no indication of how the forms various components function. Instead of "themes" and "transitions," Koch conceives of the form in terms of various *Absätze* (and a *Schlußsatz* and *Anhang*) in the primary and secondary keys. The following paragraphs define Koch's terminology before continuing to an examination of his construction of sonata form.



Abbreviations

GAB – X	*Grundabsatz* in key "X", ending on the tonic of X
QAB – X	*Quintabsatz* in key "X", ending on the dominant of X
SAB – X	*Schlußsatz* in key "X", ending with a PAC in X
ABH.	*Abhang*

Figure 2.8 Koch's Sonata Form Exposition

Koch's term "*Absatz*" refers to a complete musical thought with an associated ending (prescribed by the term's combination with *Grund-* or *Quint-*).[52] Note that, in Koch's terminology "*Absatz"* referred to both the phrase and its ending.[53] *Grundabsatz* denotes an *Absatz* ending on the tonic chord of the prevailing key. A *Grundabsatz* in home key, like the one at the beginning of Figure 2.8, concludes on the tonic. *Quintabsatz* denotes an *Absatz* ending on the dominant chord of the prevailing key. A *Quintabsatz* in tonic (the second

[52] See Heinrich Christoph Koch, *Introductory Essay on Composition: The Mechanical Rules of Melody, Sections 3 and 4*, trans. Nancy Kovaleff Baker (New Haven: Yale University Press, 1983), 2 *ff.*
[53] See Poundie Burstein, "Strolling through a Divertimento with Two Heinrichs," PDF, Academia.edu, https://www.academia.edu/3243909/Strolling_through_a_Haydn_Divertimento_with_Two_Heinrichs (accessed 16 November 2017), 3.

section of the example) concludes on the dominant, but remains in the home key; a *Quintabsatz* in the dominant (the third section of the example) therefore concludes on the dominant of that key (V/V).

The conclusions of the various *Absätze* within the first part of the form vary in strength. Note that Koch only considered the arrival of the dominant at the conclusion of the *Schlußsatz* a cadence. The ending of each *Absatz* may or may not constitute a cadence by current standards. Burstein notes that these endings "could be either omitted or elided, and any *Absatz* or pair of *Absätze* could be repeated. The resting points could be big or small, strongly emphasized or barely hinted at. Thus a resting point could serve as what presently would be regarded either as a subphrase ending, a cadence, or even the medial caesura."[54]

Koch's exposition concludes with a *Schlußsatz* and *Anhang* in the dominant (i.e. the secondary key). In Koch's work, only a *Schlußsatz* contains a "characteristic cadence formula" capable of concluding the section. As Burstein notes, "only the resting point at the end of the *Periode* [exposition] would be regarded by eighteenth-century theorists as a *bona fide* cadence. All the resting points that arise in the middle of a *Periode*—no matter how strongly delineated— would be regarded as *Absätze*."[55] Koch understands the *Anhang* as an optional element that at time follows the *Schlußsatz*.

Koch's discussion of sonata form, particularly the exposition, represents the culmination of a larger emphasis on modular design that occupies the whole of his treatise. Aimed at guiding the young composer, Koch begins with the composition of basic phrases and the *Incises*, or incomplete melodic ideas, within them; he continues to show how to expand these phrases by repetitions and additions to the end of the phrase (appendixes).

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[54] See Poundie Burstein, "Expositional Journeys and Resting Points," PDF, Academia.edu, https://www.academia.edu/30968725/Expositional_Journeys_and_Resting_Points (accessed November 1, 2016), 3.
[55] Ibid., 3.

Finally, his instructions for creating a complete musical work involve taking these phrases (expanded or otherwise) and connecting them. The entire endeavor is akin to constructing something with a child's building blocks: one first makes smaller sections out of individual blocks, then expands those and connects them into a larger structure.

Note that the diagram in **Error! Reference source not found.**, a four-*Satz* version of the exposition, presents only one of many options for the sonata exposition as described by Koch. His discussion of the form includes a three-*Satz* version as well as several exceptions.[56] Because he defines the sections of the form only by their conclusions, most of the sections of Koch's form have the potential to act as several different sections of the current description of sonata form (not simultaneously). By avoiding any discussion of the function of various sections or of their content, Koch creates a description of the exposition that bends to the composer's needs.

Figure 2.9 pairs Koch's four-*Satz* sonata form exposition with three possible versions of a normative exposition in current terminology as well as a version of the exposition that includes an extrinsic phrase. An exposition might contain a longer primary theme that occupies both the *Grundabsatz* and *Quintabsatz* in the tonic; similarly, a longer transition might encompass both of the central *Quintabsätze*; a further normative option for the exposition includes a lengthy secondary theme that begins with the *Quintabsatz* in the secondary key. The final possible exposition adds an extrinsic phrase instead of extending an already-present section.

[56] For a discussion/diagram of these see Heinrich Christoph Koch, *Introductory Essay on Composition: The Mechanical Rules of Melody, Sections 3 and 4*, trans. Nancy Kovaleff Baker (New Haven: Yale University Press, 1983), 213–33, and Poundie Burstein, "Strolling through a Divertimento with Two Heinrichs," PDF, Academia.edu, https://www.academia.edu/3243909/Strolling_through_a_Haydn_Divertimento_with_Two_Heinrichs (accessed 16 November 2017), 5, especially Figure 3.

In Figure 2.9, the initial *Grundabsatz*, the *Schlußsatz*, and *Anhang* maintain the same function throughout these four possible interpretations. The two central *Quintabsätze*, however, act as part of various sections depending on the interpretation—including the extrinsic phrase. The ease with which Koch's description accounts for the extrinsic phrase is a direct result of his emphasis on the harmonic and tonal characteristics of the formal sections over any potential functions they serve as well as his modular design.

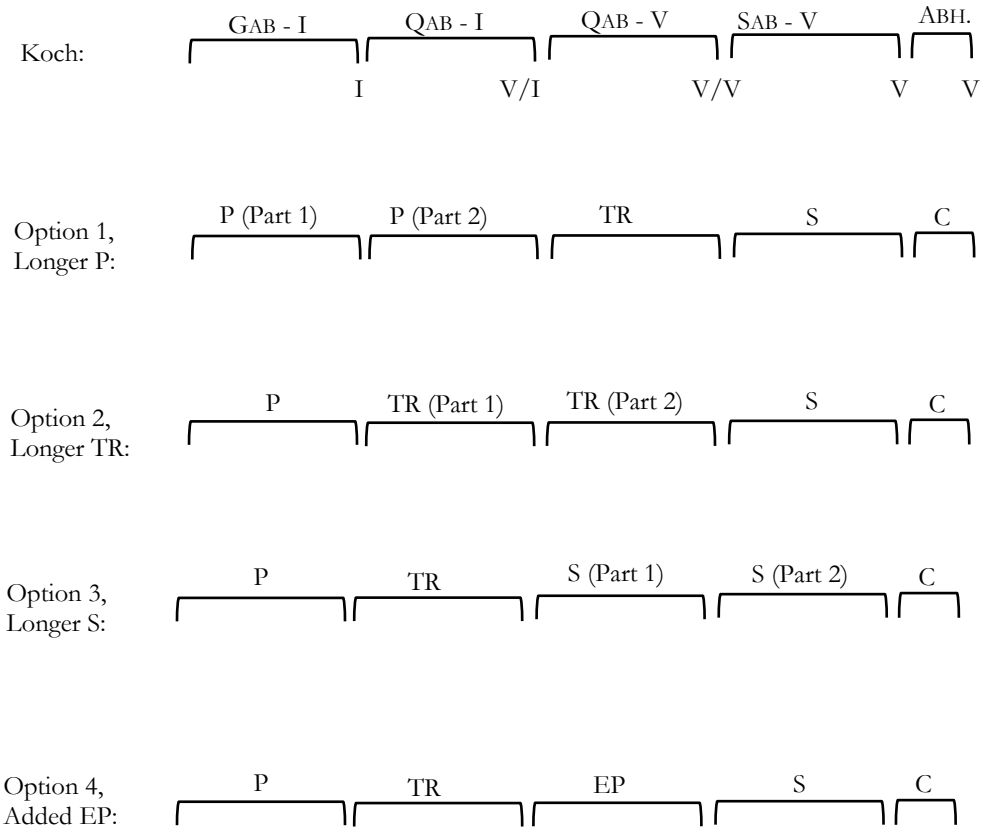

Figure 2.9 Koch's Exposition and Current Terminology (Potential Realizations)

Hepokoski and Darcy's *Elements of Sonata Theory* contains several similarities to Koch's discussion of the form. The authors recognize the utility of modular design and its similarities to contemporaneous compositional practice: "In the hands of most composers,

constructing a sonata-form movement was a task of *modular assembly*: the forging of a succession of short, section-specific musical units (spaces of actions) linked together into an ongoing linear chain."[57] According to Hepokoski and Darcy, the linear chain constructed by the exposition becomes "a referential arrangement or layout of specialized themes and textures against which the events of…subsequent spaces…are to be measured and understood."[58] The idea of the exposition's features returning in later incarnations (rotations) is not new. Indeed, Koch described the same process: the exposition "consists only of a single main period and contains the plan of the symphony; that is, the main melodic phrases are presented in their original order."[59]

Despite these similarities, Hepokoski and Darcy differ greatly from Koch in their discussion of the individual sections of the form. While Koch limits his commentary to how each section concludes, Hepokoski and Darcy seek to establish normative practices for each section (or "action space") of the form:

> [this] include[s] such things as generically appropriate types of themes and textures; reasonable lengths of individual passages…; dynamics; degrees of anticipated contrast; standard 'topics' or thematic formulas; properly placed cadences and/or cadential delay or frustration; the handling of major- and minor-mode coloration; boundaries of taste; and the limits of eccentricity.[60]

When a section of music fails to fit the established norms of a section the authors consider it non-normative or, in some cases, deformational. Hepokoski and Darcy define a deformation as an "unusual or strongly characterized, *ad hoc* moment[ ]" and "the stretching of a normative procedure to its maximally expected limits or even beyond them—or the overriding of that norm altogether in order to produce a calculated expressive effect."[61]

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[57] See Hepokoski and Darcy, *Elements*, 15–16.
[58] Ibid., 16.
[59] See Heinrich Christoph Koch, *Introductory Essay on Composition: The Mechanical Rules of Melody, Sections 3 and 4*, trans. Nancy Kovaleff Baker (New Haven: Yale University Press, 1983), 199.
[60] See Hepokoski and Darcy, *Elements*, 9.
[61] Ibid., 11 and 614, respectively.

Extrinsic phrases override the expectation for a normative secondary theme onset to follow the medial caesura and, by this metric, are considered deformations of that norm. However, this designation fails to convey several important aspects of extrinsic phrases, namely their characteristics, their various functions, and their use in a variety of works. If faced with a single movement that contained an extrinsic phrase, "deformation of the secondary theme onset," seems an appropriate moniker. When faced with multiple examples across different composers and genres, this singular deformation becomes a compositional practice worthy of close examination.[62]

Other Structures Potentially Encompassed by the Extrinsic Phrase

Because of its open-endedness, the extrinsic phrase potentially overlaps with a variety of structures identified by other authors, primarily Caplin as well as Hepokoski and Darcy. This includes Caplin's two-part transitions and two-part subordinate themes.[63] From Hepokoski and Darcy's work, the extrinsic phrase potentially encompasses the caesura fill and the trimodular block.[64] Unlike extrinsic phrases, the definitions of these structures include specifics about their keys, cadences, or harmonies. These terms remain, for the most part, distinct. One cannot, for example, successfully discuss a modulating subordinate theme as if it were a post-transition standing on the dominant. However, as previous discussion

[62] Hepokoski and Darcy discuss several non-normative practices that, if they occurred only in one or two instances, might be considered deformations of a norm, but, because they appear in a large number of works by various composers, find themselves elevated to become part of the discussion. This includes the trimodular block, a non-normative way of organizing the material after the transition but before the EEC that, as we shall see, is related to the extrinsic phrase.

[63] A variant of the two-part subordinate theme, Caplin's "modulating subordinate theme," overlaps with the modulating extrinsic phrases discussed in Chapter 3. The relationship between modulating subordinate themes and modulating extrinsic phrases is examined in that chapter.

[64] One group of extrinsic phrases discussed in Chapter 3 includes potential examples of Hepokoski and Darcy's "minor-mode S-module." The relationship between this term and that specific group of extrinsic phrases is addressed in Chapter 3.

pointed out (and as further discussion corroborates), occasional overlap and ambiguity between terms exists.

One might question the necessity of the term "extrinsic phrase" given the overlap between it and the aforementioned terms. In many cases, describing an early- or mid-eighteenth-century extrinsic phrase as all or part of one of these later structures faces difficulties. Although intertwined, the compositional practices of the early- and late-Classical styles differ. Particularly in the case of non-normative additions to the forms (i.e. extrinsic phrases), invoking any term created with late-eighteenth-century practice in mind requires extensive explanation. Often, an analyst must include multiple caveats to the terminology or suggest that the extrinsic phrase in question forms (all or part of) a non-normative version of a structure.

This, however, weakens the analysis sonata-form works (including those from the late-eighteenth century). Identifying non-normative passages from this time period only as "abnormal" or "prototype" versions of common practices described by current terminology prevents the analyst from gaining an understanding of style (here, the early- and mid-eighteenth century style). This practice also weakens the definition of the chosen term by including a structure with (possibly) significant differences from other examples under the same heading.

Despite this, the relationships between extrinsic phrases and their potential terminological correlatives are important when one considers the overall development of the sonata form and the Classical style across the eighteenth century. The idea that some extrinsic phrases form early- or mid-century versions of not-uncommon compositional practices from the late-eighteenth century is not an entirely harmful notion, provided one acknowledges the contemporaneous stylistic goals of the extrinsic phrases as well. Indeed,

some extrinsic phrases provided clear, unproblematic examples of some of the late-eighteenth-century structures discussed below. However, these extrinsic phrases still exist in the context of the early- and mid-eighteenth-century Classical style and any analysis of them must reflect that.

Caplin's Terminology

Caplin's *Classical Form* includes two concepts that potentially overlap with the extrinsic phrase: the two-part transition and the two-part subordinate theme.[65] Unlike the terms from Hepokoski and Darcy discussed in the next section, both of Caplin's concepts form variants of larger, established formal sections. In situations where an extrinsic phrase overlaps with Caplin's concepts, the extrinsic phrase acts as a non-normative portion of an established formal structure, i.e. the transition or the subordinate theme. For this reason, the definitions established earlier in this chapter for those formal sections becomes an important factor in deciding whether a given passage is an extrinsic phrase or part of a two-part transition or two-part subordinate theme. Caplin provides an uncomplicated example of the two-part transition and the two-part subordinate theme in *Classical Form*. However, in the case of the two-part transition, he includes a more problematic example—one that might benefit from the use of my extrinsic phrase concept. This example demonstrates the potential use of "extrinsic phrase" in the analysis of late-eighteenth-century works.

The term "two-part transition" denotes a transition wherein "the first part of the transition leads to a half cadence (or dominant arrival) in the home key, just as a single nonmodulating transition; the second part then modulates to the subordinate key."[66] Figure

[65] For the sake of continuity with Caplin's work, this section uses his term, "subordinate theme," in places where later discussion and analyses use "secondary theme."
[66] See Caplin, *Classical Form*, 135. A dominant arrival is a strong, non-cadential phrase ending on the dominant. Chapter 1 discussed this type of phrase ending as a possibility for extrinsic phrases.

2.10 diagrams an exposition containing a two-part transition alongside an exposition containing an extrinsic phrase. The potential for overlap lies between the second part of the

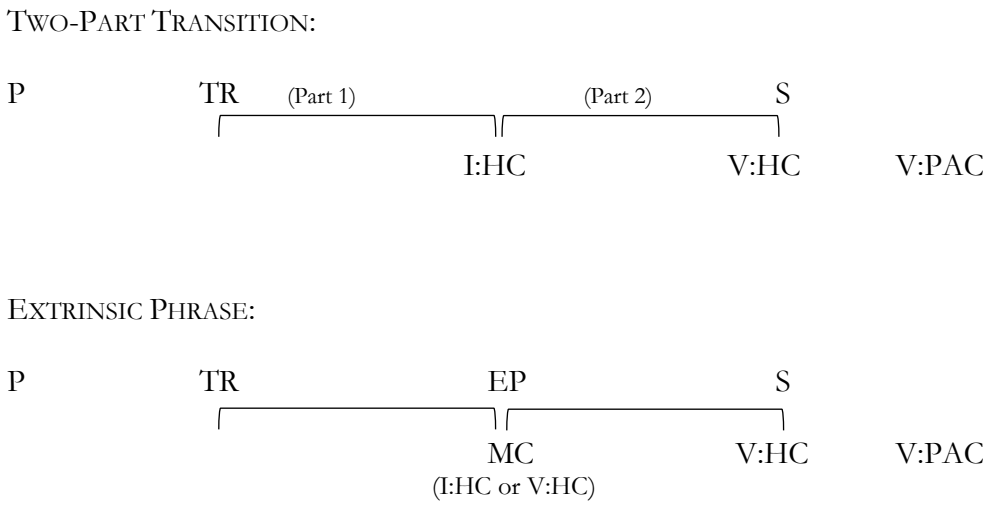

Figure 2.10 The Two-Part Transition Compared to the Extrinsic Phrase

two-part transition and the extrinsic phrase. Figure 2.11 provides one of Caplin's examples of such a transition, from the third movement of Mozart's Piano Trio in D Minor, K. 442.[67] The primary theme ends at m. 16 with a PAC in the tonic key. The transition begins by extending that tonic for four bars before turning to the faster surface rhythms and harmonic rhythm usually associated with that section. A half cadence in tonic at m. 24 followed by a standing on the dominant in mm. 24–31 seems to conclude the transition. The anacrusis to m. 32 however, leads to a tonic chord in the home key instead of the onset of a theme in the secondary theme. In this case a potential medial caesura occurs (at m. 31), but the music that follows it denies the medial caesura by beginning in the tonic key. The second part of the

[67] My version of the example differs both in the overall format of the score (I use a piano reduction whereas he uses a single-staff reduction of the trio) and some of its annotations. In the case of the latter, the example here omits information note necessary to the discussion (e.g. chord labels) and instead points out characteristics of the transition discussed in Chapter 1. See *Classical Form*, 137–38 for Caplin's original, Example 9.15, and his discussion of it.

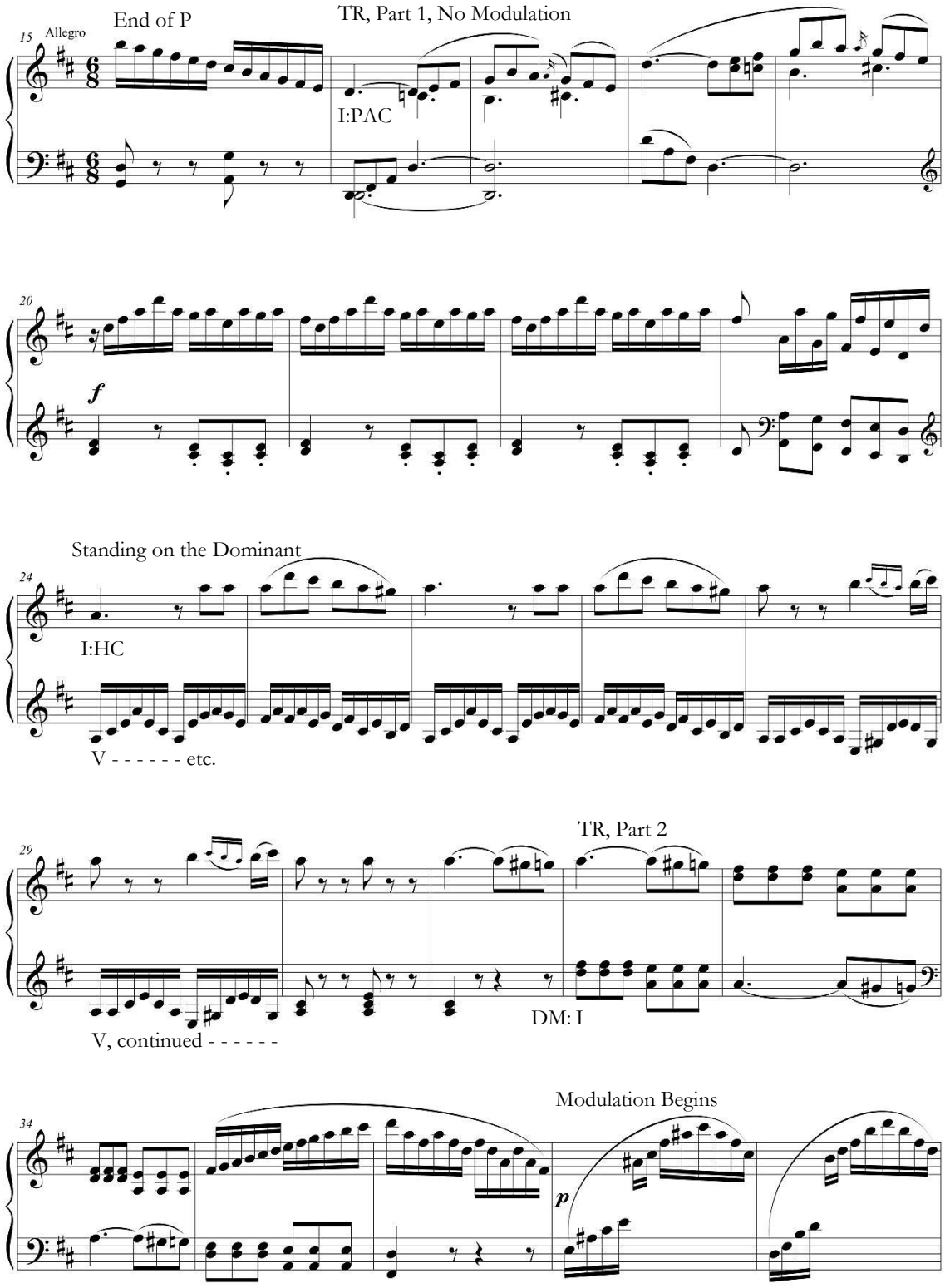

Figure 2.11 Mozart, Piano Trio in D Minor, K. 442, iii

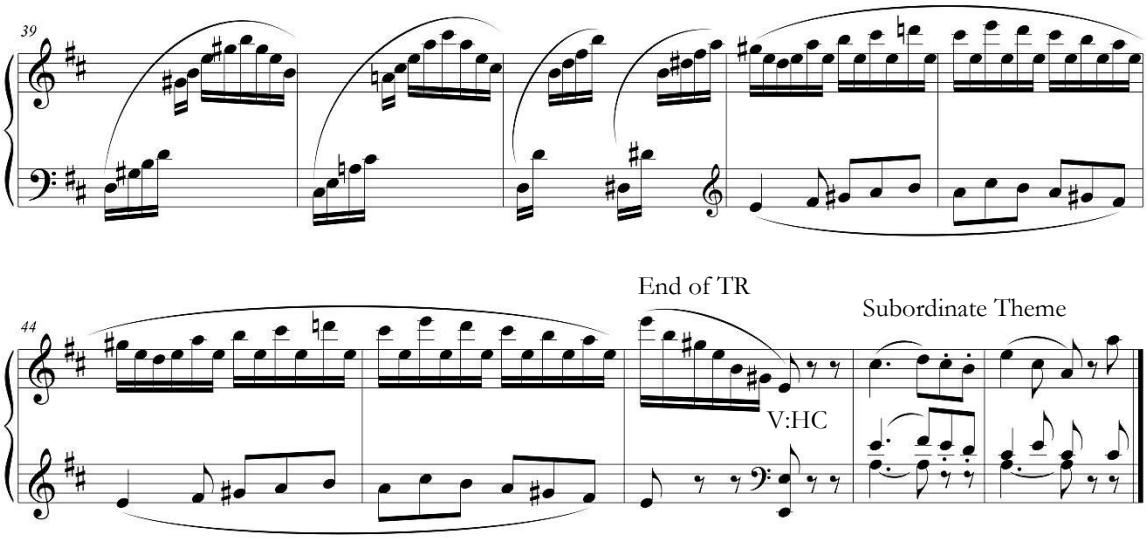

Figure 2.11, continued

transition begins at m. 32 which modulates to A major, the secondary key. This portion of the transition concludes with a V:HC; a secondary theme in this key follows.[68]

Caplin provides a second, more complicated, example, taken from the first movement of Haydn's Piano Trio in E-flat, Hob. XV: 30. This exposition, shown in Figure 2.12, contains a two-part exposition whose second half might be understood as an extrinsic phrase.[69] Like Mozart's trio, the first part of Haydn's two-part transition, mm. 16–32, concludes with a half cadence in the tonic at m. 26, followed by a standing on the dominant.[70] A large gap follows the end of this passage at m. 32. The second portion of the transition per Caplin's example begins with a non-normative harmony, a G dominant-seventh chord that leads to an inverted C-minor triad. This eventually leads to what Caplin calls a V:HC at m. 37, followed by a lengthy standing on the dominant that includes multiple inflections of the minor mode (see the D-flats in mm. 38 and 40 and the G-flats in mm. 37 and 39). After this standing on the dominant ends at m. 42, the secondary theme follows in B-flat major.

In Mozart's piano trio, the transition unambiguously remained within the primary key (i.e. no change of key occurs between mm. 31 and 32 in Figure 2.11). Here, however, a medial caesura (m. 32) is followed by unexpected harmonies that form non-normative

[68] In this situation, one might construe the first part of the transition as an extension of the primary theme. The standing on the dominant that concludes this section, however, suggests its true function as a transition.
[69] Like the previous example, this uses a piano reduction and changes or omits some of Caplin's annotations. See *Classical Form*, 128 for Caplin's original example (Example 9.4) and page 137 for his discussion thereof.
[70] The half cadence at m. 26 seems to break Caplin's "rule" that cadences occur on the dominant triad and not the dominant seventh chord. However, on closer inspection, one notes that the cadence here arrives on the B-flat major triad before the seventh is introduced. The seventh, i.e. the A-flat, occurs after the cadence and forms an ornamental part of the prolongation (notice its resolution to G). See Caplin, "The Classical Cadence: Conceptions and Misconceptions," *Journal of the American Musicological Society* 57, 1 (Spring 2004), 70–76.

options in either of the expected keys at this point, i.e. the home key of E-flat major or the anticipated secondary key, B-flat major. Caplin understands this as the opening of the second part of the transition and argues that one understands a half cadence in the dominant at m. 37. The subordinate (secondary) theme begins at m. 41 following a standing on the dominant.

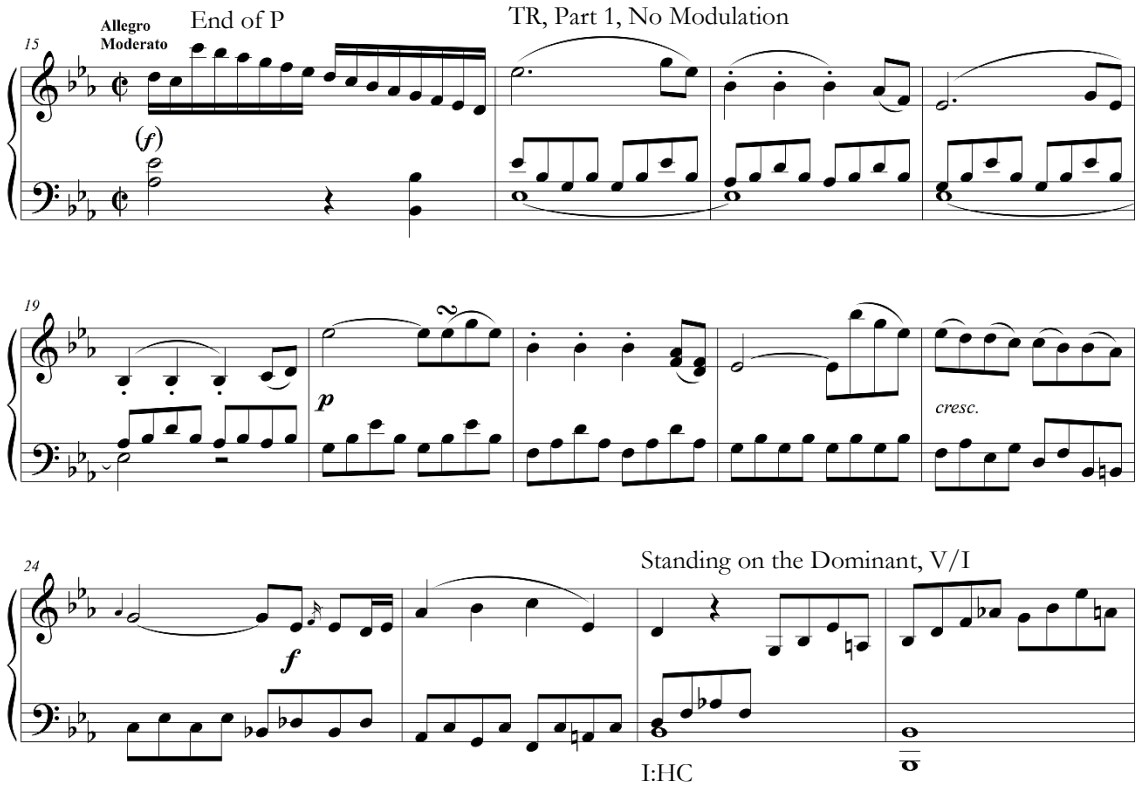

Figure 2.12 Haydn, Piano Trio in E-Flat, Hob. XV:30, i

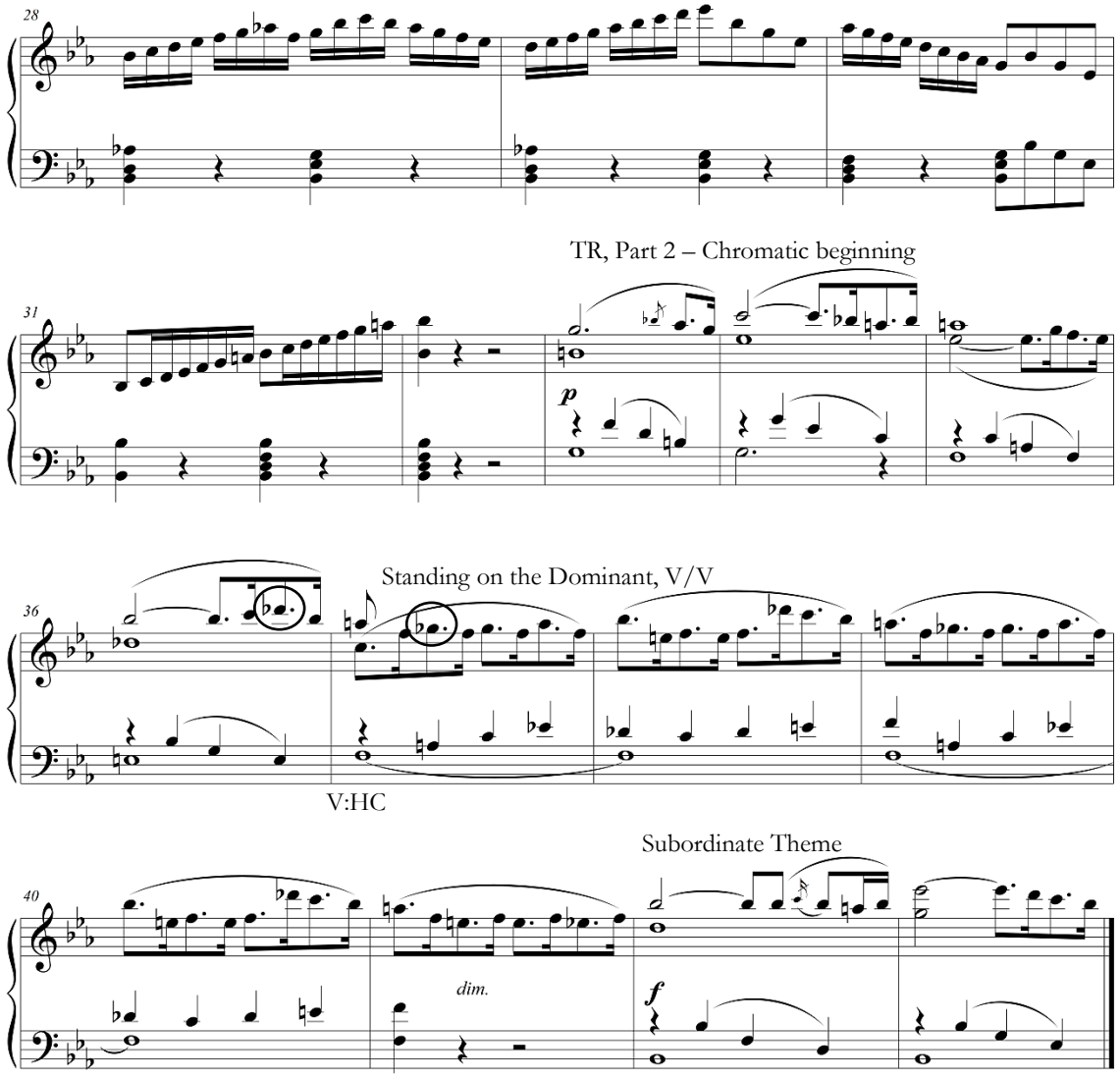

Figure 2.12, continued

The analysis of Haydn's piano trio could benefit from the use of my "extrinsic phrase." The cadence at m. 26 and the subsequent gap at m. 32 create a strong separation from that which follows. The non-normative harmonies at m. 33 seem indicative neither of a secondary theme nor of a continuation of the transition. Furthermore, the second part of the transition lacks an increase in surface rhythm and dynamics. In mm. 16–32 changes in these domains indicated the change in the formal section (and function) from the primary theme to the transition. At m. 33, the addition of a *piano* dynamic and less-active surface rhythms

seems to indicate a similar change, albeit not to a secondary theme (the harmony indicates otherwise). Understanding mm. 33–40 as an extrinsic phrase accounts for these changes in the exposition.[71] In a later analysis of a similar situation from one of Haydn's string quartets, I consider a similar passage an example of a contrasting extrinsic phrase.[72]

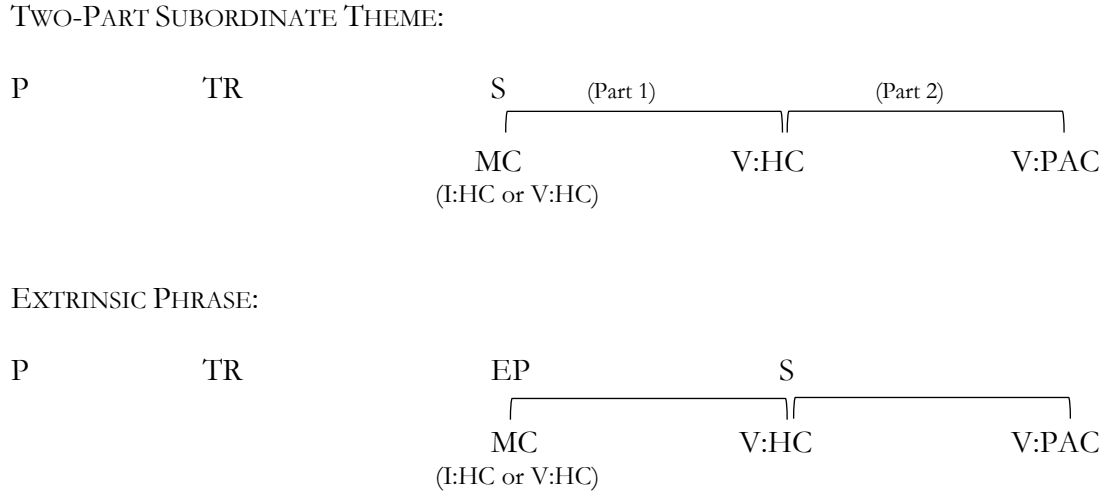

Figure 2.13 The Two-Part Subordinate Theme Compared to the Extrinsic Phrase

Caplin's two-part subordinate theme uses a structure somewhat similar to that of the two-part transition. Figure 2.13 diagrams an exposition containing a two-part subordinate theme alongside one with an extrinsic phrase. In this case, the first part of the two-part section overlaps with the extrinsic phrase. Figure 2.14 shows the first movement of Mozart's Violin Concerto No. 5 in A Major, K. 219, which Caplin provides as an example of this phenomenon.[73] The transition ends with a I:HC at m. 74, performed by the orchestra. The reentry of the soloist at m. 74, along with the simultaneous drop to a *piano* dynamic, signals

[71] In the recapitulation of this movement, which begins in m. 136, Haydn combines elements of mm. 16–31 and mm. 32–40 to create a briefer passage that fuses elements of the transition and the extrinsic phrase into a single passage (mm. 151–67). Here, however, neither a MC-like gap nor a drop to a *piano* dynamic occurs during the section.

[72] See the analysis of the finale of Haydn's String Quartet in F Major, op. 17, no. 2 in Chapter 4.

[73] Like Caplin's original example, Figure 2.15 reduces the orchestral score and solo violin to a single staff. However, the markings on my figure differ from the original. See Caplin, *Classical Form*, 118, Example 8.17 and his discussion of the example on the previous page.

the beginning of the two-part subordinate theme. At m. 80, a V:HC concludes the first half of the subordinate theme; an anacrusis leads to the second part. The second part of the subordinate theme leads to a PAC in E major at m. 112 (not shown on Figure 2.14).

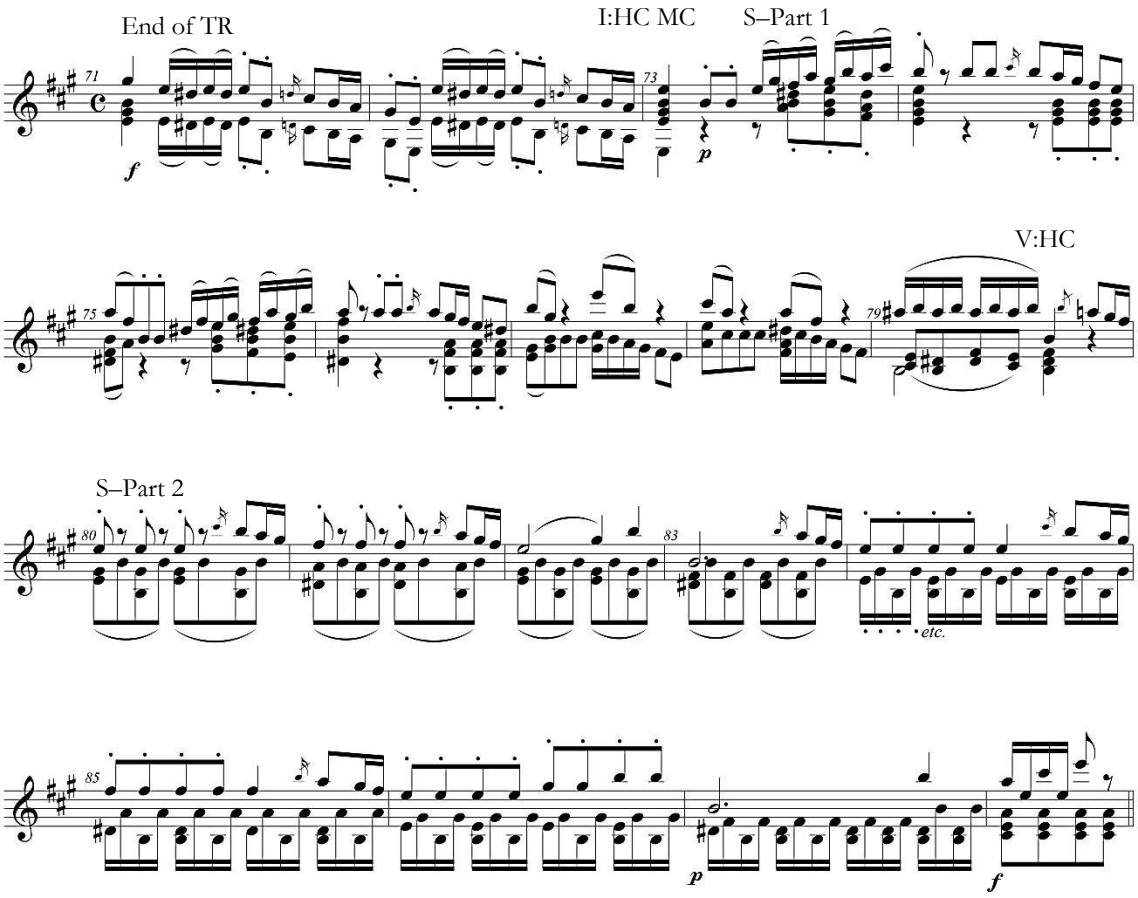

Figure 2.14 Mozart, Violin Concerto in A, K. 219, I, Reduction

Apart from their potential to overlap with the extrinsic phrase, Caplin's two-part transition and two-part subordinate theme also can be difficult to distinguish from one another. Carl Wiens notes that the two-part transition and two-part subordinate theme are

"almost harmonically indistinguishable."[74] Figure 2.15 aligns the earlier diagrams of these concepts. The figure also "fills in" hypothetical surroundings for each structure: a subordinate theme concluding with a V:PAC accompanies the two-part transition and a non-modulating transition that ends with a I:HC precedes the two-part subordinate theme. Wiens explores two examples of what he considers ambiguous cases, both by Beethoven.[75]

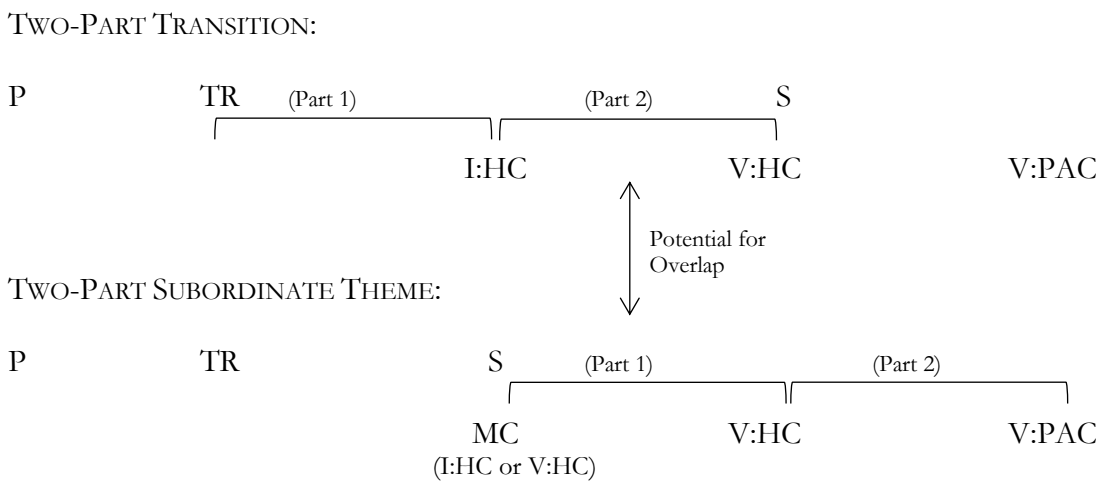

Figure 2.15 The Two-part Transition Compared to the Two-Part Subordinate Theme

If one thinks of Caplin's concepts in relation to the examples derived from Koch's work in Figure 2.9, the possible confusion between them becomes clear. The two-part transition represents a version the "long transition" and the two-part subordinate theme represents a version of the "long secondary theme." Each uses the second of the two *Quintabsätze* in a different manner. The extrinsic phrase often uses the same *Quintabsatz* as

[74] See Carl Wiens, "Two-Part Transition or Two-Part Subordinate Theme?" *Intersections* 31, 1 (2010), 49.
[75] For his analyses of these works, the first movements of the Piano Sonatas op. 2 no. 3 and op. 10, no. 2, see Carl Wiens, "Two-Part Transition or Two-Part Subordinate Theme?" *Intersections* 31, 1 (2010), 49 ff. One of these, the first movement of Beethoven's Piano Sonata op. 2, no. 3, is cited by Hepokoski and Darcy as an example of a trimodular block (the section below includes an analysis of it).

Caplin's concepts,[76] leading to its potential for overlap. In the early- and mid-eighteenth century, this *Quintabsatz* (and other similarly-placed sections) represented a versatile passage used by composers as a transition, a secondary theme, or an extrinsic phrase that could serve a variety of purposes.

Hepokoski and Darcy's Terminology

Hepokoski and Darcy discuss two structures that potentially overlap with an extrinsic phrase, caesura-fill and the trimodular block. Both of these lie outside the boundaries of the expected formal sections of the exposition (i.e. primary theme, transition, secondary theme). This means that, unlike Caplin's terminology, differentiating extrinsic phrases from caesura-fills or trimodular blocks relies more heavily on the definitions specific to these terms and not on the definitions of larger formal sections.

Caesura-fill connects the medial caesura cadence with the onset of the secondary theme, "filling in" the medial caesura gap. Caesura-fill "is part of neither TR nor S: it represents the sonic articulation of the gap separating the two zones."[77] While the definition seems simple enough, the term "caesura-fill" encompasses passages of different lengths as well as the potential for modulation. Hepokoski and Darcy outline two main lengths for caesura-fill, a generic version (caesura-fill) and expanded caesura-fill. Each of these act as a "representation of the *energy-loss* that bridges the vigorous end of TR (MC) to what is frequently the low-intensity beginning of S."[78]

[76] There are examples in Chapters 3 and 4 that stray from Koch's four-*Absatz* model. As Koch's purpose was to provide his reader with an introduction to musical composition it is not surprising that variants and diversions from his model arise.
[77] See Hepokoski and Darcy, *Elements*, 40.
[78] Ibid., 40.

EXPANDED CAESURA-FILL:

P	TR	’	Exp. Caesura-Fill	S	/ C
I		MC–no gap (I:HC or V:HC)		V	

EXTRINSIC PHRASE:

P	TR	’	EP	S	/ C
I		MC (I:HC or V:HC)		V	

Figure 2.16 Expanded Caesura-Fill Compared to the Extrinsic Phrase

Importantly, caesura-fill, by definition, does not occur in those expositions where a gap follows the medial-caesura cadence. This alone rules out many of the extrinsic phrases examined in subsequent chapters from overlapping caesura-fill as their movements include the medial-caesura gap. In those movements without a medial-caesura gap, caesura-fill occurs in the same location as an extrinsic phrase. However, not all caesura-fills necessarily overlap with extrinsic phrases. Shorter caesura-fills do not act as autonomous sections syntactically and functionally independent from the transition and the secondary theme. Only expanded caesura-fill, a multi-measure caesura-fill that includes a drop to piano at its onset, overlaps with the examples of extrinsic phrases discussed in subsequent chapters.[79] Figure 2.16 diagrams an exposition containing expanded caesura fill alongside one with an extrinsic phrase for comparison.

Caesura-fill consists of a small-scale passage that leads to the next section of the exposition. Next to an open (i.e. not filled) medial caesura gap, this forms the most common

[79] A variant of expanded caesura-fill, modulating caesura-fill, is related to the modulating extrinsic phrases discussed in Chapter 3. The introduction to the section discussing those extrinsic phrases examines the relationship between the two.

option according to Hepokoski and Darcy.[80] Some examples of caesura-fill articulate their own harmonic progression and clearly go beyond the idea of a "brief sonic link," creating an "expanded caesura-fill" that became common in the late-eighteenth century:

> Toward the later decades of the eighteenth century (and even more so in the nineteenth) composers began to explore the effects of widening that caesura gap—opening it to a span of three, four, or more bars—and filling it with connective caesura-fill (representing energy-loss) that might serve a variety of expressive purposes.[81]

The authors also describe a variant of caesura-fill, "juggernaut caesura-fill," wherein "the motivic drive and rhetorical energy of the preceding TR[ansition] are so great that they spill over the MC proper, invading the expanded MC-gap with continued *forte* energy, momentarily refusing to lose energy in the normative, generic way."[82]

A variant of expanded caesura-fill comes in the form of modulating caesura-fill. Hepokoski and Darcy cite two instances of this structure from the nineteenth century, both coincidentally in the key of B minor. The lengthier and more complex of the two examples, shown in Figure 2.17, occurs in Felix Mendelssohn's Overture, op. 2 "The Hebrides" in mm. 39–47.[83] In this case, a i:HC concludes the transition, leaving the composer with the option of either including a modulating caesura fill or abruptly modulating to the mediant at the beginning of the secondary theme. The former option leads to a smoother connection between the sections, and prepares the secondary key before the onset of the secondary theme. Hepokoski and Darcy note that modulating caesura-fill occurs rarely in the eighteenth century.

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[80] See Hepokoski and Darcy, *Elements*, 40.
[81] See Hepokoski and Darcy, *Elements*, 34. The caesura-fill in the Haydn represents a version of Hepokoski and Darcy's expanded caesura-fill in spite of its length.
[82] Ibid., 44–45.
[83] The other example, taken from the first movement of Franz Schubert's

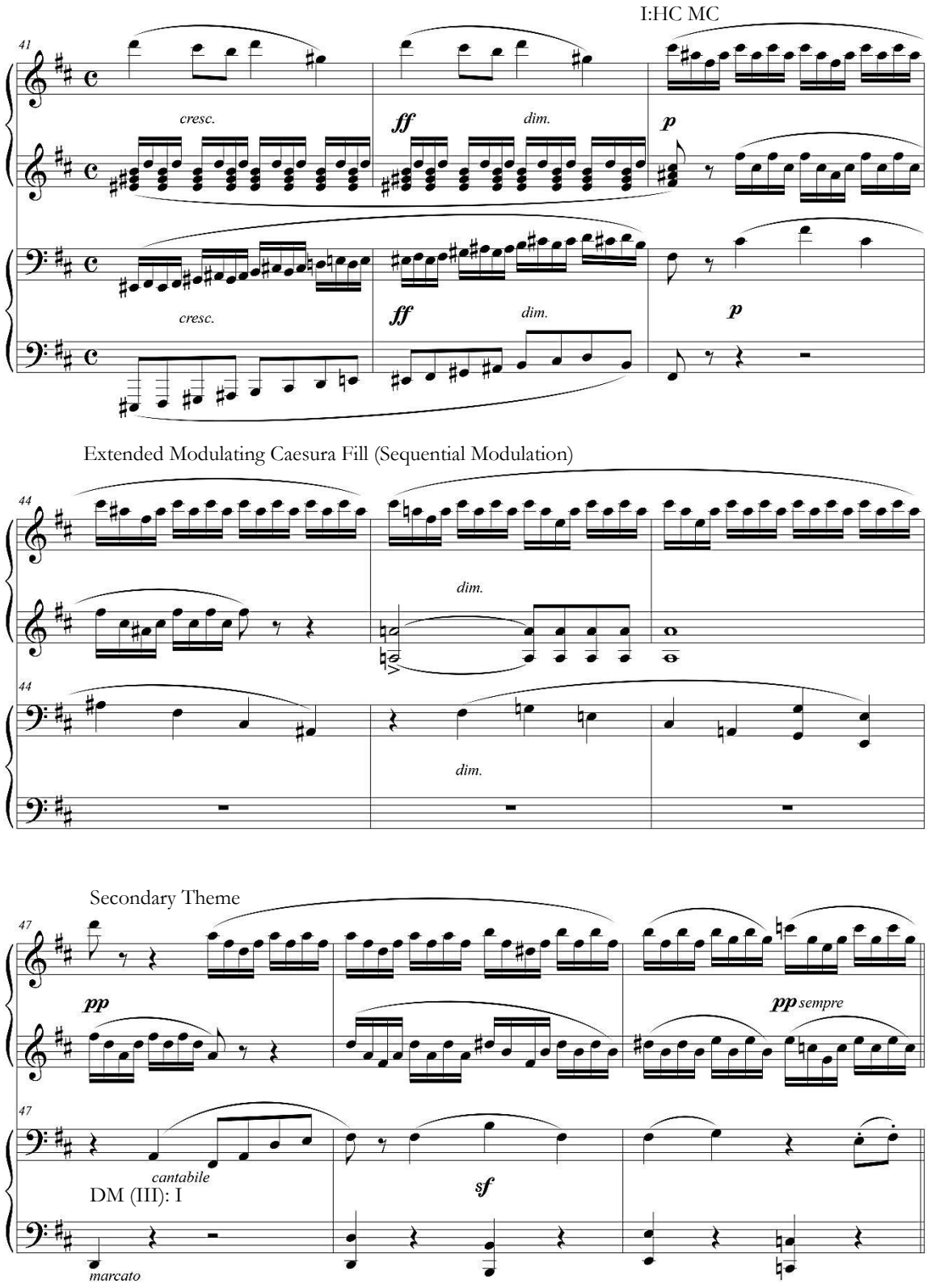

Figure 2.17 Mendelssohn's Overture, op. 2 "The Hebrides," Reduction

When an extrinsic phrase overlaps with a possible example of expanded caesura-fill, the extrinsic phrase usually encompasses the entire caesura-fill. In the case of Hepokoski and Darcy's trimodular block, the extrinsic phrase potential coincides with only part of the structure, similar to what occurred with Caplin's two-part transition or two-part subordinate theme. Hepokoski and Darcy discuss the trimodular block (TMB) under the heading "Apparent Double Medial Caesuras" stating that "it is not uncommon to encounter the setup and execution of a second, additional medial caesura before the EEC…the invariable impression is that of apparent double medial caesuras, and, concomitantly, the effect of two separate launches of new themes…following those MCs."[84] Graham Hunt and Samantha Inman explore the trimodular block further than Hepokoski and Darcy's initial description.[85] Their discussion of this phenomenon informs the overview of the trimodular block provided here.**Error! Reference source not found.** provides the score to the exposition of Beethoven's Piano Sonata in C Major, op. 2, no. 3; Figure 2.19 diagrams the exposition, which contains a trimodular block.[86] No changes from the normative two-part exposition design occur in the first portion of the exposition. Following the medial caesura at m. 26, the three modules of the trimodular block supplant the secondary theme. Each of the blocks—labeled TM^1, TM^2, and TM^3—serves a different function. The initial TM^1 usually begins like a normative secondary theme.

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[84] See Hepokoski and Darcy, *Elements*, 171.

[85] Graham Hunt explores the three-key expositions of Schubert and Brahms in relation to Hepokoski and Darcy's description of the eighteenth-century trimodular block. Samantha Inman examines the use of the trimodular block in the works of Haydn, as well as the Schenkerian implications thereof. See Graham Hunt, "The Three-Key Trimodular Block and Its Classical Precedents: Sonata Expositions of Schubert and Brahms," *Intégral* 23 (2009): 65–119, and Samantha Mae Inman, "The Nexus of Inner and Outer Form in Joseph Haydn's Late Instrumental Sonata Movements" (PhD diss., Eastman School of Music, 2014).

[86] Hepokoski and Darcy use this movement as their primary example of the trimodular block. See *Elements*, 172–75, especially Example 8.7. Interestingly, the authors also cite this movement as an example of a minor-mode S-module (see *Elements*, 141–42). Chapter 5 addresses this conflict within Hepokoski and Darcy's work during a discussion of the relationship between the extrinsic phrases in the two subsequent chapters and current terminology.

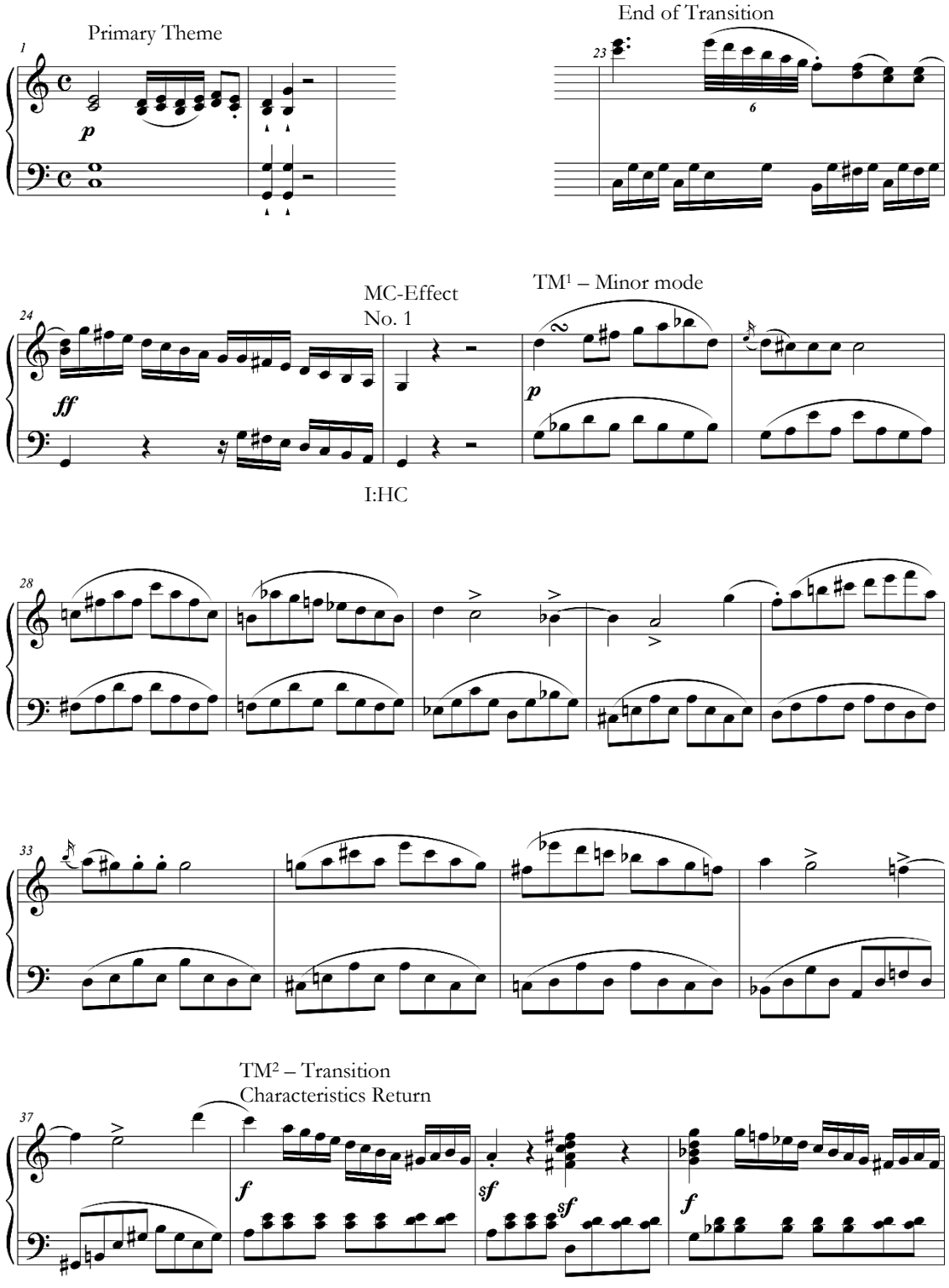

Figure 2.18 Beethoven, Piano Sonata in C Major, op. 2, no. 3, i

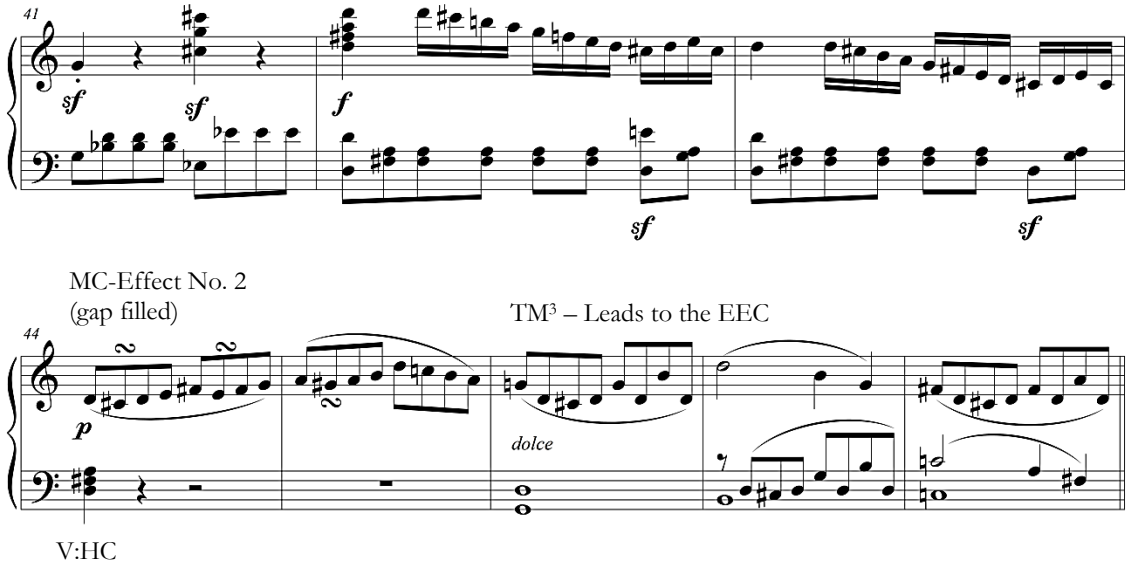

Figure 2.18, continued

Graham Hunt defines TM[1] as "the first part of the block that is generally a thematic (or quasi-thematic) module in the secondary key with an important flaw: it fails to achieve the EEC."[87] TM[1] in Beethoven's sonata begins, according to Hepokoski and Darcy, "in an expressively 'flawed' G minor, the dominant key having unexpectedly collapsed into minor ('lights out') at this point. This 'flaw,' it seems, will have to be expunged through the TMB strategy."[88] In this case, the problem with TM[1] is readily apparent at its onset; in other cases, TM[1] begins like a (completely) normative secondary theme but faces difficulties later.

[87] See Graham Hunt, "The Three-Key Trimodular Block and Its Classical Precedents: Sonata Expositions of Schubert and Brahms," *Intégral* 23 (2009), 72.

[88] See Hepokoski and Darcy, *Elements*, 172. Chapter 3 briefly examined the authors' discussion of the expressive connotations of the minor mode's use in (normatively) major-mode secondary themes. Their use of the "lights out" metaphor here—occurring at the beginning of a presumed major-mode secondary theme that shifts unexpectedly to the minor mode—differs from their earlier use where the "lights out" effect occurred in major-mode secondary themes that turned toward the minor mode later in the process, i.e. after their onsets (see Ibid., 142). A later paragraph examines this inconsistency and what it means for modally-contrasting extrinsic phrases.

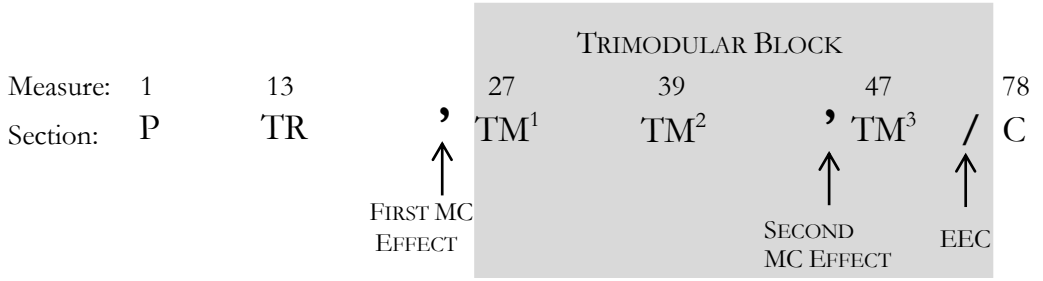

Figure 2.19 Diagram, Exposition, Beethoven op. 2, no. 3, i

The difficulties faced by TM^1 cause the exposition to abandon it and return in TM^2 to an earlier function, that of the transition. Like the transition, TM^2 leads to a (second) medial caesura effect that, in many late-eighteenth-century examples of the trimodular block, includes most or all of the normative characteristics of a medial caesura.[89] In Figure 2.18, TM^2 begins at m. 39 and "reinvigorates a more characteristic TR-texture and leads to a clear postmedial caesura, V:HC, at m. 42, followed by two bars of caesura fill"[90] A change in dynamics from *piano* to *forte* occurs at the point Hepokoski and Darcy consider TM^2 to begin. An increase in surface rhythm, particularly in the right hand, accompanies the beginning of TM^2 as well. Following the second medial caesura effect TM^3, a new module in the secondary key, leads (eventually) to the EEC. In **Error! Reference source not found.**, TM^3 begins in m. 45 and reaches a V:PAC, the EEC, at m. 77. Although TM^3 serves a function similar to the secondary theme, Hepokoski and Darcy advocate for the exclusive use of "TM^3" because of the more complex situation that label conveys as opposed to "S."

[89] Chapter 2 outlined these in its definition of the transition. For a more detailed discussion, see Hepokoski and Darcy, *Elements*, 30–36.
[90] Ibid., 172. Caesura fill occurs after a medial caesura cadence (or medial caesura effect) and fills in the normative gap in all voices. In this example, a single voice connects the end of TM^2 at m. 45 to the beginning of TM^3 at m. 47.

Note that the boundary between the first two modules of the trimodular block sometimes occurs as a seamless shift. Inman observes:

> Although TM^1 and TM^3 typically possess extremely clear beginnings given their placement immediately following a caesura, the boundary between the end of TM^1 and the start of TM^2 is often less clear…Even when rhetorical cues delineate the segments, voice leading typically fuses TM^1 and TM^2 into a single process, suggesting that the tri-modular block might be a bit of a misnomer.[91]

In this situation, the function of TM^2 becomes recognizable over time, as transitional elements appear, but no marking of the moment occurs. Hepokoski and Darcy recognize a similar situation, called a TM^1–TM^2 merger, but in their description, TM^2 gives no indication of its function until the arrival of the second medial caesura effect.[92] The situations described by Inman as well as Hepokoski and Darcy are the ones more likely encountered in the early- and mid-eighteenth century. Figure 2.20 diagrams this possibility, a trimodular block with fused or merged TM^1 and TM^2 modules, next to an extrinsic phrase. The extrinsic phrase occupies the same space as the fused or merged TM^1–TM^2 and the secondary theme aligns with TM^3.

Hepokoski and Darcy specify two main trimodular block scenarios which interact in different ways with the normative two-part exposition model. The trimodular block from the first movement of Beethoven's op. 2, no. 3 presents one of these possibilities. In this scenario, a "clearly flawed" onset of TM^1 leads to TM^2 and a second medial caesura effect, after which TM^3 occurs.[93] In a second scenario, the trimodular block occurs entirely within what the authors call "S-space." In such cases, an initially normative secondary theme onset

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[91] See Samantha Mae Inman, "The Nexus of Inner and Outer Form in Joseph Haydn's Late Instrumental Sonata Movements" (PhD diss., Eastman School of Music, 2014), 86. Note that Inman, along with Graham Hunt, uses the hyphenated version of the term ("tri-modular block") while Hepokoski and Darcy do not ("trimodular block").

[92] "Sometimes one cannot distinguish any extended TM^2 module by texture and content alone. In other words, we might have a $TM^1 \Rightarrow TM^2$ merger, with the TM^2 aspect marked only by the articulation of the new MC at its end" (See Hepokoski and Darcy, *Elements*, 172). According to the authors, this is a less common situation.

[93] The "flaw" here refers to the use of the minor mode in TM^1.

"proves in some way unsatisfactory, unable to secure the EEC," resulting in the production of a new caesura effect and a new module (TM^3) that leads to a PAC in the secondary key.[94]

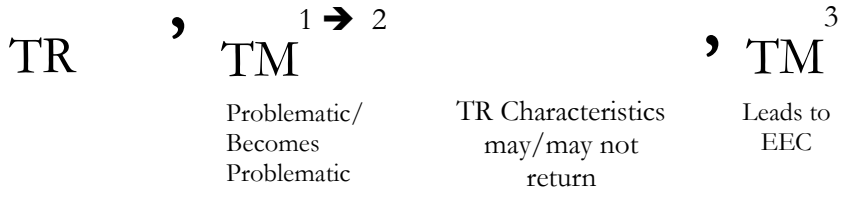

Figure 2.20 Trimodular Block with Merged Modules

The authors' definition of the trimodular block hinges on the double-MC-effect taking place,[95] but they fail to explicitly define what constitutes a medial caesura effect, particularly in relation to the trimodular block. Various statements by Hepokoski and Darcy regarding the trimodular block create a landscape of possibilities that makes navigating the discussion of this phenomenon and its relation to more generic proliferating phrases (i.e. those without a second medial caesura effect) difficult. The authors loosely discuss a continuum of strong-to-weak medial caesura effects in their discussion of "Troubleshooting MC Identifications" in *Elements*. There, they suggest that any half cadence in the transition, if followed by a clear secondary theme, can serve as a medial caesura, regardless of its strength.[96] Hepokoski makes his views on the subject clearer in a 2016 article discussing the continuous exposition, where he examines how this continuum changed over the course of the eighteenth century:

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[94] See Hepokoski and Darcy, *Elements*, 172.
[95] "As a rule of thumb: If the double-MC-effect is not present, we are not dealing with a TMB." See Hepokoski and Darcy, *Elements*, 172.
[96] See Hepokoski and Darcy, *Elements*, 48–50. There, the authors discuss a situation in which a supposedly clear secondary theme occurs following a problematic medial caesura. They argue that if a half cadence occurs without any reinforcement (changes in dynamics, energy gain, and so forth) in the transition and then "S is nevertheless presented as though it were accepting that HC-arrival as a workable MC," the half cadence—regardless of its lack of reinforcement—acts as the medial caesura.

> Especially in the 1740s and 1750s the later, seemingly binary opposition between a continuous and two-part exposition is anything but absolute. Consequently—and above all for these earlier repertories—one might imagine something along the lines of a continuum of MC + S clarity. Still, at least by the last three decades of the eighteenth century…relative smoothness of that continuum had undergone an aesthetically magnetic pull, drawing much of centre-space options towards the extremes [i.e. the two-part and continuous exposition models] – leaving that space considerably less populated with examples and encouraging those 'ambiguous' examples increasingly to be read as in dialogue with the extremes.[97]

In their discussion of the trimodular block, Hepokoski and Darcy extend a similar degree of flexibility to the strength of the second medial caesura:

> The second MC is sometimes articulated more weakly than the first, giving the impression that the 'strong' MC energy had already been spent in preparation for TM^1. Whatever its rhetorical strength—or lack thereof—its function is to restart S or to prepare for a more 'successful' S-theme.[98]

At the bare minimum then, it seems a medial-caesura effect requires a half cadence near the end of the transition and a secondary theme to follow it.[99] If this is true for the trimodular block, then several of the extrinsic phrases described in Chapters 3 and 4 might be understood as mid-century versions of the TMB.

Summary of Chapter 2

The extrinsic phrase's overlap with various concepts from the work of Caplin as well as Hepokoski and Darcy demonstrates its power as a generic term and its ability to help create a unified view of similar functioning material with potentially different internal structures. As a generic option, the term "extrinsic phrase" may be used in conjunction with

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[97] See James Hepokoski, "Sonata Theory, Secondary Themes and Continuous Expositions: Dialogues with Form-Functional Theory," *Music Analysis Music Analysis*, 35, i, (2016), 51–52.

[98] See Hepokoski and Darcy, *Elements*, 172. The authors' designation of S within the trimodular block and their views on whether or not that term applies to a portion of the trimodular block appears to depend on the situation at hand. In discussing the trimodular from Beethoven's op. 2, no. 3, they argue that "any projecting of such a label as $S^{1.1}$ or $S^{1.2}$ onto portions of a TMB—and especially onto this more problematic type—insists on interpreting a more complex expositional phenomenon (the TMB) by means of the conceptual categories of a simpler one" (*Elements*, 175). However, in an earlier section they mention that, in some situations, it can be advantageous to combine the "$S^{1.1}$, $S^{1.2}$…" labels with TM^1, TM^2, and TM^3 (*Elements*, 175).

[99] The authors fail to mention the V:PAC (their "-third level default") or I:PAC ("fourth-level default") as options when discussing weaker MC-effects. One assumes that this remains a possibility and that this omission reflects their more rare use.

other terms like those described above. In using these (or any other) term simultaneously, one must remain aware of the implications of their analysis. Extrinsic phrases exist outside of *normative* transitions and secondary themes, but several of the terms above describe, or include, non-normative situations. For this reason, an analyst might understand a given section of music as an extrinsic phrase that also forms part of a trimodular block. The possibility of extrinsic phrases coexisting with other terminologies in an analysis forces the reconsideration of the term's necessity. The answer lies in the motivations originally discussed in Chapter 1. First, the term "extrinsic phrase" is a generic term that potentially encompasses situations described by these other terms as well as those situations current terminology fails to adequately capture. Second, as a generic, the extrinsic phrase allows one to compare disparate structures with similar functions, as occurs in the next two chapters.

CHAPTER 3

EXTRINSIC PHRASES INTRODUCING TONAL ALTERATIONS

This is the first of two chapters that examines what extrinsic phrases do within a movement and how composers used them. This chapter specifically focuses on two groups of extrinsic phrases, each of which alters an exposition's normative tonal path. The first group, modally-contrasting extrinsic phrases, emphasizes the medial caesura and dramatizes the onset of the secondary theme. Exemplars of this group use the same tonal center as the secondary key, but a different mode, e.g. the minor mode instead of the major mode. Extrinsic phrases in the second group affect a non-normative shift in the secondary key from an initial option prepared by the transition to some other option.

Extrinsic phrases that alter an exposition's anticipated tonal path through a change in mode or key create a more jarring effect than extrinsic phrases that occur entirely within the secondary key. This is not to argue that the effects of the two are equal. The change in key, and by that, tonal center, represents a greater departure from an exposition's normative trajectory than a change in mode. However, a change in mode—particularly one at the outset of the second half of the exposition—still creates a noticeable departure from the expectations created by the exposition up to that point.

Late-eighteenth-century counterparts of both modally-contrasting and modulating extrinsic phrases are recognized (without using the term "extrinsic phrase" of course) by William Caplin, James Hepokoski and Warren Darcy, and others.[1] However, applying the

[1] Other authors discuss one or the other of these extrinsic phrase functions and thus are mentioned in appropriate places later in this chapter.

terminology these authors use to all of the early- and mid-eighteenth-century examples of modally-contrasting or modulating extrinsic phrases faces difficulties.[2] Using the generic term "extrinsic phrase" signifies that a given passage acts as a non-normative addition to the form (before a normative secondary theme onset), but includes no specifications about the length of that insertion, its relationship to other sections (apart from location), or its cadential articulation. Because of this, "extrinsic phrase" is able to encompass two passages different in their internal phrase structure, but similar in function.

The individual analyses of modally-contrasting and modulating extrinsic phrases avoid addressing the relationship of the extrinsic phrase to terminology developed with the late-eighteenth century in mind. Instead, the analyses concentrate on the extrinsic phrases' function, internal characteristics, and how they create and maintain a syntactic and functional separation from the other sections of the form.

Regardless of function, the examples of extrinsic phrases below focus on their use in the exposition.[3] Extrinsic phrases frequently occur in both the exposition and a later rotation (either the second rotation of a Type 2 sonata form or the recapitulation of a Type 3 sonata form).[4] In many cases, there is little that changes, apart from transposition, between the extrinsic phrase's appearances. When discussing such extrinsic phrases below, the appearance in the later rotation merits only a brief acknowledgment. In some cases, however, the extrinsic phrase (and often the transition and/or secondary theme) undergo alterations that significantly change the function of the extrinsic phrase. In these cases, the second rotation demands and receives a closer examination.

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[2] The section "Exploration of the Problem" in Chapter 1 provides an outline of these difficulties.
[3] This statement is true for the extrinsic phrases examined in both Chapters 3 and 4.
[4] In the case of the extrinsic phrases discussed in this chapter, the modally-contrasting extrinsic phrases often return in later rotations. The modulating extrinsic phrases, on the other hand, rarely—if ever—return in later rotations.

The first part of this chapter examines modally-contrasting extrinsic phrases from major-mode movements. The extrinsic phrases from this group of examples all occur in the minor dominant (v) after a transition and medial caesura that prepare for a secondary theme in the major dominant (V). The addition of the extrinsic phrase delays the onset of a normative secondary theme in the major dominant to a later point in the exposition. These extrinsic phrases include a wide range of tightly-knit to looser internal phrase structures. The conclusion of this section points out common characteristics that unite many of the examples and examines how these phrase structures and their associated endings affect possible interpretations of them using current terminology.

The second half of this chapter examines modulating extrinsic phrases. Specifically, this exploration concentrates on a common tonal pattern that occurs in minor-mode movements wherein the exposition's keys outline a tonic triad. In these expositions, the transition prepares for a secondary theme in the mediant (III), but an added extrinsic phrase enters instead and modulates to the minor dominant (v) before the onset of the secondary theme. Limiting the examples of modulating extrinsic phrases to this pattern directs the discussion to the extrinsic phrases and their use.

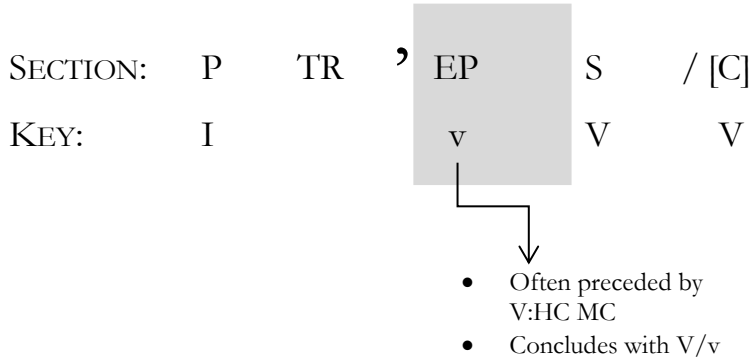
Modally-Contrasting Extrinsic Phrases

The first part of this chapter examines modally-contrasting extrinsic phrases from major-mode movements.[5] Figure 3.1 presents a generalized outline of events for expositions from major-mode sonata forms containing modally-contrasting extrinsic phrases.[6] Each begins with a primary theme and transition, the latter of which prepares for a secondary

[5] Although modally-contrasting extrinsic phrases can occur in minor-mode movements, I limit my discussion here in order to focus on how these extrinsic phrases affect their autonomy and what function they perform within the exposition. At the time of this writing, I have not found any minor-mode movement using a similar change in the expected mode after the medial caesura (i.e. iii instead of III or V instead of v). Regardless, they remain a possibility.

[6] Note that here, and in future examples, I use the initialism "EP" to signify the extrinsic phrase.

theme in the dominant. In the examples below, the transition concludes either with a cadence on the dominant (V) or the dominant of the anticipated key (V/V). The medial caesura follows, concluding the first half of the exposition.



Key:

P	Primary Theme	S	Secondary Theme
TR	Transition	/	Essential Expositional Closure (EEC)
’	Medial Caesura	C	(Optional) Closing Theme
EP	Extrinsic Phrase		

Figure 3.1 Abstracted Timeline for Modally-Contrasting Extrinsic Phrases

Instead of proceeding to the secondary theme, an extrinsic phrase in the minor dominant enters, delaying the secondary theme's anticipated arrival. Regardless of its internal phrase structure, the extrinsic phrase ends on V/v. This allows the exposition to pivot back to the major dominant, the anticipated secondary key, at the onset of the secondary theme that follows. The exposition concludes either with the secondary theme or with an (optional) closing theme.[7] If the exposition were to remain in the minor dominant, the extrinsic phrase's unexpected modal shift might become normalized as part of a secondary theme

[7] Although in some movements this V/v ending constitutes a v:HC, in others a non-cadential ending occurs, hence the choice to label the harmony rather than a definitive cadence.

(with an admittedly non-normative mode choice).[8] Here, however, the onset of the secondary theme fulfills the previously-denied tonal expectation set forth by the transition and medial caesura.

Although each of the examples below features its own individual version of a modally-contrasting extrinsic phrase and, by that, a different way of establishing the extrinsic phrase as a separate section of sonata form, some general comments about how modally-contrasting extrinsic phrases separate themselves from the transition and the onset of the secondary theme can be made here. First, the strong medial caesura and gap at the end of the transition before the extrinsic phrase plays the most important role in the extrinsic phrase's independence from that section. In all but one example, the initial harmonies of the extrinsic phrase further support this separation. By using harmonies normative to a secondary theme onset, albeit in the "wrong" mode, the extrinsic phrases communicate a clear change of key following the medial caesura. Changes in other domains reinforce this separation.

Naturally, the arrival of the minor dominant instead of the anticipated major dominant plays a part in separating the extrinsic phrase from the secondary theme. However, this only occurs after the secondary theme enters in the "correct" mode, the major dominant. The secondary theme's delayed arrival puts the extrinsic phrase in context as an added element. Changes in other domains between the end of the extrinsic phrase and the onset of the secondary theme support this reading as does the secondary theme's use of a tightly-knit phrase structure, when it occurs.

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[8] Although rare, the retention of the minor dominant occurs in at least one movement by Domenico Scarlatti, the Keyboard Sonata in F Major, K. 297. Following a transition preparing the major dominant (and ending with a V:HC), the second half of the exposition begins in the minor dominant. The exposition ends in this key, never relinquishing the minor for the major dominant, thus normalizing the minor dominant as the secondary key. The minor-mode secondary theme returns during the second rotation, causing the entire movement to end in F minor.

Apart from the general similarities in how they separate themselves from the transition and the secondary theme, these extrinsic phrases share their function: they call attention to the midpoint of the exposition by including an element of modal contrast alongside the already-present tonal contrast. In the expositions below, the extrinsic phrase often acts as the sole use of or reference to the minor mode. The unexpected inclusion of the minor mode at a pivotal point during the exposition emphasizes that juncture, as does the secondary theme's subsequent fulfillment of the expectations set forth by the medial caesura.

The use of the minor mode at this point in major-mode sonata movements has received attention from other authors. Some attribute extra-musical implications to such passages. In a study of Boccherini's use of the minor mode in various contexts in major-mode movements, W. Dean Sutcliffe suggests that the minor mode forms an "archaic reference" to an earlier style. Sutcliffe points to Corelli (or the "Corellian tradition") as a predecessor for Boccherini's use of the minor mode.[9] Motivated by Sutcliffe's work, Rohan H. Stewart-MacDonald examined the music of Domenico Scarlatti and Muzio Clementi, finding evidence that suggests the affiliation of the minor mode and an earlier style was recognized by some.[10]

While Sutcliffe and Stewart-MacDonald pursue the use of the minor mode from a stylistic perspective, other authors, namely Caplin, Hepokoski and Darcy, and Rosen discuss the use of the minor mode from a form perspective. Caplin touches on minor-mode beginnings to subordinate themes during his discussion of the "two-part subordinate

[9] See W. Dean Sutcliffe, 401–43 (Bologna, Italy: Ut Orpheus, 2008), especially p. 407.
[10] See Rohan H. Stewart-MacDonald, "The Minor Mode as Archaic Signifier in the Solo Keyboard Works of Domenico Scarlatti and Muzio Clementi," in *Domenico Scarlatti Adventures: Essays to Commemorate the 250th Anniversary of His Death*, edited by Massimiliano Sala.

theme."[11] In Caplin's view, the minor-mode extrinsic phrase I identify acts as the first part of the two-part subordinate theme while what I call the secondary theme acts as the second part. Although appropriate in some of the movements discussed here, the term fails to describe the events of others.

Hepokoski and Darcy present a more generalized view of minor-mode passages after the medial caesura in their discussion of "minor-mode S-modules." Instead of specifically addressing minor-mode beginnings to the second half of the exposition, the authors use the term "minor-mode S-modules" to encompass any use of the minor mode after the medial caesura, but before the EEC (in major-mode movements). In so doing, they group minor-mode passages that occur immediately after the medial caesura with those that occur later, in the middle or at the end of their secondary theme zone. Hepokoski and Darcy understand such minor-mode passages as having dramatic implications:

> Sometimes the first S-module [i.e. first phrase of the secondary theme] within a major-mode work makes its appearance in the *minor* dominant (v) with the implication of tragedy, malevolence, a sudden expressive reversal, or an unexpected complication within the musical plot…in virtually all cases the minor-mode effect is corrected later in the exposition, often within S-space itself.[12]

Dramatic implications aside, Hepokoski and Darcy fail to consider the different effects of such minor-mode passages. The use of the minor-mode in the middle of a secondary theme affects one's interpretation of the form differently than the use of the minor-mode immediately after the medial caesura, before the secondary key's anticipated mode is

[11] See Caplin, *Classical Form*, 119.
[12] See Hepokoski and Darcy, *Elements*, 141. For the authors, "module" refers to any portion of the secondary theme—regardless of whether or not it articulates a complete phrase structure. Unlike Caplin, whose definition of phrase is used here, Hepokoski and Darcy only consider a section of music a phrase when it concludes with a cadence.

established. Additionally, some of the authors' cited examples of minor-mode S-modules complicate the situation.[13]

Charles Rosen—cited by Hepokoski and Darcy in their discussion—specifically examined minor-mode beginnings to the second half of the sonata form exposition as a common "stereotype" in music of the 1750s and 1760s: "the first of these mid-century stereotypes is a new theme in the dominant minor which appears just as the dominant has been reached in the exposition."[14] Rosen discusses the effect of such passages but relates these effects to the tonic-dominant polarity he understands as central to sonata forms, particularly those of the late-eighteenth century.

> The dominant minor used for the initial contrasting theme right at the beginning of the second group both strengthens and weakens the tonic-dominant polarity of the exposition. It affirms the movement to the dominant,…but attacks its specific character as a dominant as well as its stability, for the minor mode cannot be used as a dominant—at that time, it was inherently less stable than the major…It is clear why this stereotype did not last very long: it has only a purely local, small-scale effectiveness.[15]

Although he discusses the effect of initiating the second half of the exposition in the minor mode, Rosen focuses on the relationship of this practice to his conception of late-eighteenth-century sonata forms and fails to address the effects of such passages beyond that scope.

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[13] Hepokoski and Darcy include one example, the first movement of Beethoven's Piano Sonata in C Major, op. 2, no. 3, as both an example of a "minor-mode S-module" and a trimodular block, creating a confusing situation (especially given the authors' caution against identifying the modules of a trimodular block as parts of a secondary theme). In a second example, the finale of Mozart's Piano Sonata in F Major, K. 332, the entirety of the secondary theme, not merely an opening module, occurs in the minor dominant. This differs from examples modally-contrasting extrinsic phrases, each of which acted as a temporary, syntactically disconnected passage in the minor dominant. See Hepokoski and Darcy, *Elements*, 141–42.

[14] See Charles Rosen, *Sonata Forms* (New York: W.W. Norton, 1980), 146–47.

[15] Ibid., 147.

A final author, Rey M. Longyear, examines both the formal locations of the minor mode's use (in major-mode sonata forms) as well as the stylistic implications thereof.[16] Longyear combines the perspectives of other authors—Sutcliffe and Stewart-MacDonald's stylistic approach and the form-based approaches of Caplin along with Hepokoski and Darcy—to examine both the stylistic motivations and form-structural effects of the use of the minor-mode during the Classical era. Unlike the other authors, Longyear focuses neither on individual composers (Sutcliffe and Stewart-MacDonald) nor on a specific sub-era or geographic tradition (the late-eighteenth-century, Austro-Germanic tradition studies of Caplin as well as Hepokoski and Darcy). Instead, Longyear takes aim at the use of the minor mode across the entirety of the eighteenth century, characterizing and categorizing minor mode passages based on their location within the form (e.g. the transition) and the effect or circumstances of their use.

All of the authors discussing the formal implications of what I call modally-contrasting extrinsic phrases include those passages in the boundaries of the secondary theme. Even if one considers this the arrival of the secondary key, albeit in a expressively-charged, incorrect mode, grouping modally-contrasting extrinsic phrases with secondary themes discounts the separation signals that differentiate them from the secondary theme. More importantly, understanding these extrinsic phrases as a non-normative onset of the secondary theme ignores the larger practice of using extrinsic phrases to provide contrast at a pivotal point in the exposition. Modally-contrasting extrinsic phrases are related to materially-contrasting extrinsic phrases (a topic addressed in Chapter 4). This latter variety of extrinsic phrase performs the same function as the modally-contrasting extrinsic phrases

[16] See Rey M. Longyear, "The Minor Mode in Eighteenth-Century Sonata Form," *Journal of Music Theory,* 15, no. 1-2 (Spring-Winter 1971): 182–229.

discussed here, but lack the change in mode relying instead on the use of non-normative harmony and harmonic progressions to differentiate themselves from the secondary theme.

This section provides five examples of modally-contrasting extrinsic phrases from four early- and mid-eighteenth century composers. These examples were chosen and arranged based on the internal phrase structure of their extrinsic phrases. The section begins with more tightly-knit extrinsic phrases from two works by Luigi Boccherini (1743–1805): the second movement of the String Trio in A Major, G. 79 (1760) and the first movement of the Cello Sonata in F Major, G. 1 (n.d.).[17] Each of these extrinsic phrases encompasses a sentence structure.

The third extrinsic phrase discussed here comes from the first movement of the Sonata for Violin in A Major, op. 3, no. 1 (1765) by Pierre Gaviniès (1728–1800). This extrinsic phrase provides an example of a loosely-structured, but complete phrase structure acting as an extrinsic phrase. It forms the midpoint of this sections progression from tightly-knit to looser internal phrase structures in extrinsic phrases. Furthermore, it includes the use of the harmony separation signal—a rarity in modally-contrasting extrinsic phrases—which necessarily affects how it separates itself from the other sections of the exposition, particularly the transition.

The remaining two examples, taken from compositions by Gaetano Pugnani (1731–1798) and Domenico Scarlatti (1685–1757), feature extrinsic phrases that encompass incomplete phrase structures. Both extrinsic phrases consist of a repeated idea that concludes without a cadence or strong dominant arrival. The second movement of Pugnani's

[17] The composition date for the string trio comes from Boccherini's personal catalog. No definite date of composition is known for the cello sonata, but Boccherini likely composed it earlier in his career (before his arrival in Madrid in 1768) when he performed regularly as a cello virtuoso. See Christian Speck and Stanley Sadie, "Luigi Boccherini," *Grove Music Online*, edited by Deane Root, www.oxfordmusiconline.com (accessed 18, January 2018).

Sonata for Two Violins and Continuo, op. 1, no. 3 (first published in 1754) uses an extrinsic phrase that consists of a four-bar idea and its repetition. Pugnani alters the end of the idea's repetition to create a stronger conclusion for the extrinsic phrase than a simple, unaltered repetition of the idea would affect. The final and earliest movement of the five examples here, Scarlatti's Keyboard Sonata in B-flat Major, K. 473 (n.d.), uses a repeated two-bar idea for its extrinsic phrase, which creates a situation similar to that of Pugnani's sonata. However, Scarlatti repeated the two-bar idea with no alterations, leaving the entrance of the secondary theme to signal the end of the extrinsic phrase.

In terms of function, no differences exist between the extrinsic phrases in Scarlatti's K. 473 or Pugnani's sonata and the other movements discussed in this section. All of these movements highlight the medial caesura and the onset of the secondary theme. It does, however, change what current terminology one might associate with the extrinsic phrases which, if one only uses this terminology, potentially obscures their common function.

All of these composers use modally-contrasting extrinsic phrases in similar manners, suggesting that the composers might have influence one another or had a common compositional or pedagogical "ancestor." However, none have lives that overlap significantly.[18] Regardless of these looser connections between these composers, each began using extrinsic phrases prior to any date where they might have met the others. It appears that modally-contrasting extrinsic phrases may have evolved from some currently unknown earlier practice.

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[18] Both Scarlatti and Boccherini traveled from Italy to (eventually) live and work in Madrid, but Scarlatti passed away more than a decade before Boccherini's arrival. Boccherini, Gaviniès, and Pugnani all share a history of performances at the *Concert Spirituel*, a series of annual public concerts that spans most of the eighteenth century. However, the dates of these performances do not overlap. See Malcolm Boyd "Scarlatti Family," *Grove Music Online*. Edited by Deane Root. Accessed 18 January, 2018, www.oxfordmusiconline.com; Christian Speck and Stanley Sadie, "Luigi Boccherini," *Grove Music Online*, edited by Deane Root, www.oxfordmusiconline.com (accessed 18, January 2018); and Eric Blom and Beverly Wilcox, "Concert Spirituel." *Grove Music Online*. Edited by Deane Root. www.oxfordmusiconline.com (accessed 18, January 2018).

Boccherini, String Trio, G. 79

The second movement of Boccherini's String Trio in A, G. 79 provides a first example of a modally-contrasting extrinsic phrase. The extrinsic phrase appears in both the exposition and the second rotation. Figure 3.2 provides an annotated score of the exposition. The exposition occupies twenty-seven measures, slightly less than half of the movement's sixty-five measures. The primary theme, mm. 1–6, establishes the tonic key and concludes with a I:PAC. The transition begins at m. 7. A half cadence in the dominant (E major) at m. 11 and a post-cadential prolongation of the dominant in mm. 11–13 conclude the transition. The cello marks the end of the transition with an octave drop.[19] An eighth rest in all parts, the medial caesura, follows.

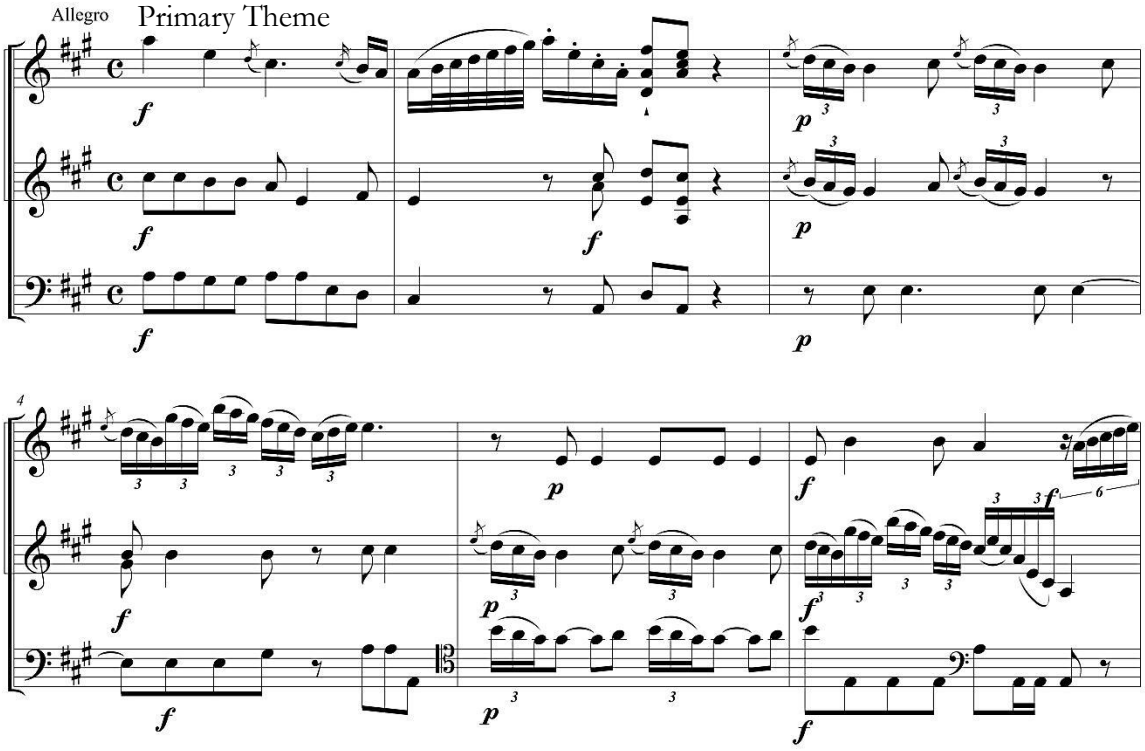

Figure 3.2 Boccherini, String Trio G. 79, ii, Exposition

[19] Hepokoski and Darcy use the term "octave drop" to denote instances where a repeated pitch or chord is performed an octave lower than the original upon its (immediate) repetition. The authors specifically discuss this in relation to "hammerblows," another device used to accentuate a medial caesura cadence. See Hepokoski and Darcy, *Elements*, 34.

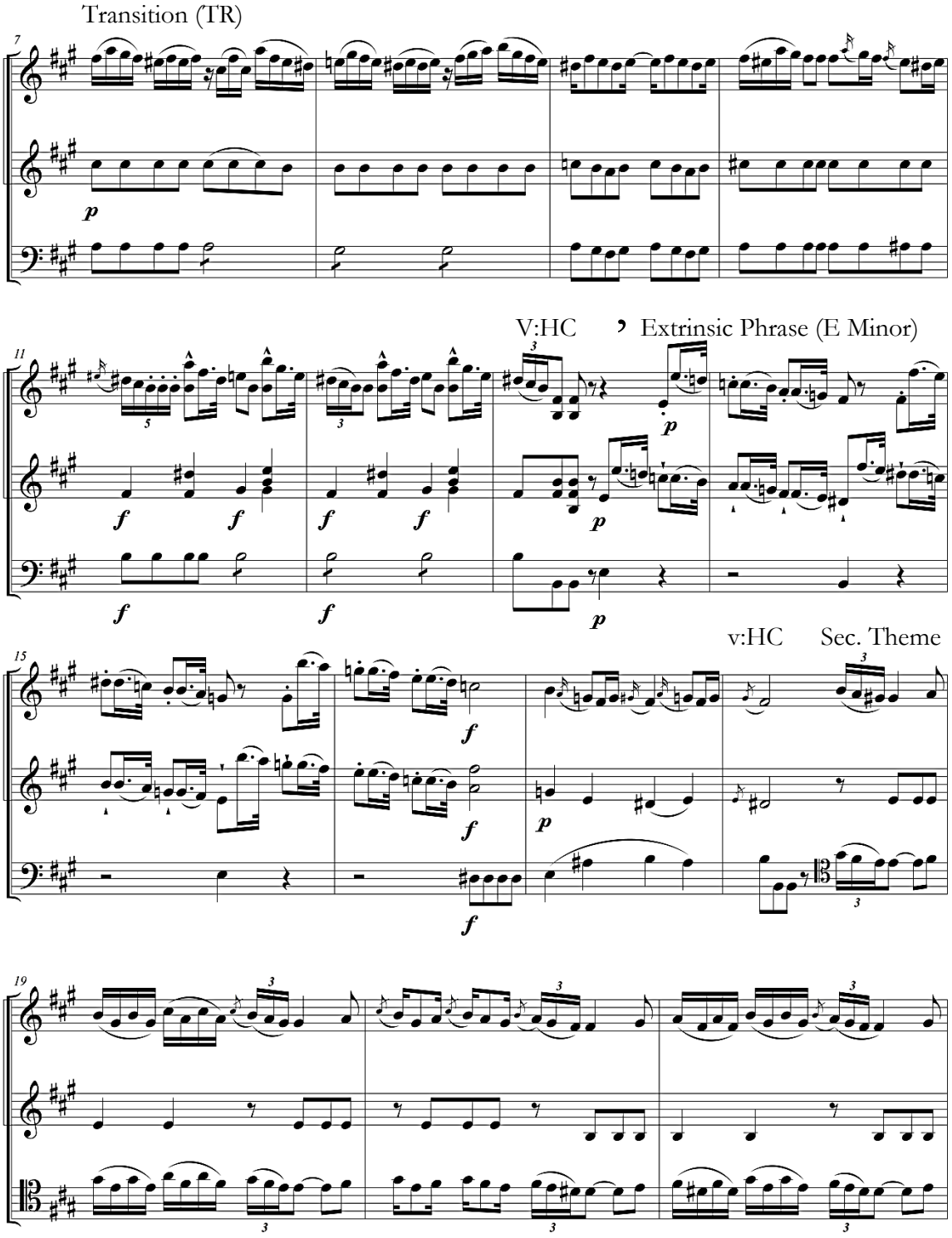

Figure 3.2, continued

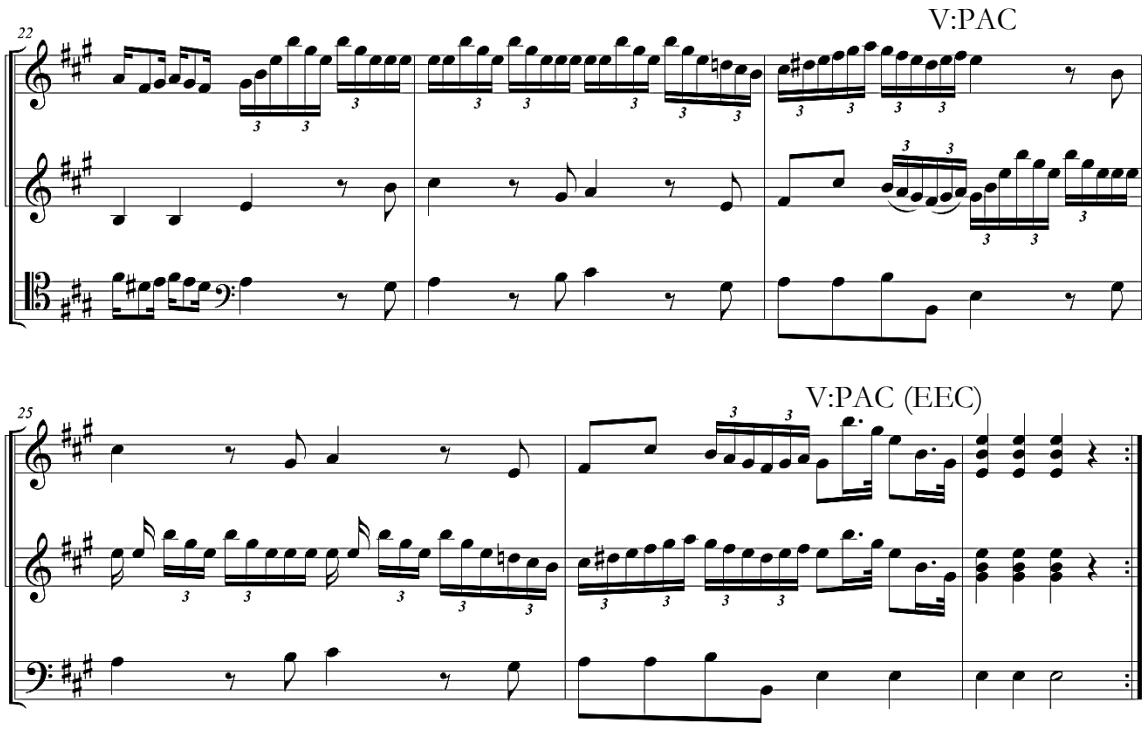

Figure 3.2, continued

A five-bar extrinsic phrase in E minor, mm. 13–18, delays the secondary theme. The extrinsic phrase as a whole forms a sentence with a presentation that is normative in length, but which is followed by a short continuation. The extrinsic phrase begins with an imitative idea featuring a descending E-minor scale that makes the unexpected mode of the passage clear. Measures 14—15 repeat the idea, completing the sentence's presentation phrase. A third repetition of the idea begins at m. 16, the beginning of the continuation, but yields to the preparation for the half cadence in the dominant that ends the phrase at m. 18. The extrinsic phrase begins with an initial affirmation of the medial caesura that transforms into "not the secondary theme" soon after: the octave E's in the second violin and cello on the third beat of m. 13 seem to indicate a normative secondary theme onset until the descending

scale begins. Many extrinsic phrases open with a seemingly normative continuation of the exposition but quickly become non-normative.

The extrinsic phrase's conclusion on a B-major triad allows the secondary theme to immediately enter in E major, the prepared secondary key, at m. 18. The secondary theme uses a phrase structure similar to the extrinsic phrase, i.e. a sentence with short continuation. The secondary theme concludes at m. 27 with a PAC in the major dominant. The presentation phrase (mm. 18–22) contains a I-V-I progression in E major that both mimics the extrinsic phrase's opening harmonic progression and establishes the return of the major dominant. Note that the secondary theme's continuation is only slightly shorter than its presentation phrase, making it a more tightly-knit, symmetrical structure than the extrinsic phrase. The contrasting effect of the extrinsic phrase relies on the secondary theme's return to the normative tonal trajectory of the exposition. If the major dominant did not return at this point, the continuation of the minor dominant might signal a more far-reaching change in the exposition's tonal trajectory.[20]

This extrinsic phrase separates itself through the process described in the introduction to this section. The endings and tonality/modality signals play the main roles in the separation while other signals play supporting roles. The combination of signals used within the exposition separates the extrinsic phrase as an independent phrase within the exposition. As the trio constitutes the first example of these separation signals' use here, the following paragraphs examine each signal in detail.[21]

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[20] Here I refer to instances like Scarlatti's Keyboard Sonata in F Major, K. 297 and the finale of Mozart's Piano Sonata in F Major, K. 332 where the secondary theme remains in and concludes with a PAC in an unprepared mode. In such instances the non-normative choice of mode becomes normalized through its continued use.

[21] The following paragraphs specifically examine the separation of the extrinsic phrase from its surroundings in the exposition with the understanding that, for the most part, the same signals occur during the second rotation. Those interested in examining the separation signal table for this movement will find it in Appendix A, Figure A.1.

In this example, the strong-state endings signal provides the greatest indication of the extrinsic phrase's independence from the transition and also plays a significant role in separating the extrinsic phrase from the secondary theme. The V:HC and medial caesura clearly demarcates the transition and sets forth expectations for a new section of the form—with a different function—to follow.[22] The use of stable harmonies in the new, albeit unexpected, key during the extrinsic phrase supports this separation. At the end of the extrinsic phrase, the v:HC at m. 18 creates a similar, albeit weaker, break in the music.[23] The extrinsic phrase's conclusion plays a supporting role in the process of separating it from the secondary theme. The difference in mode between the extrinsic phrase and the secondary theme commands the primary role in this process.

The modal relations between the end of the transition, the extrinsic phrase, and the secondary theme strongly separate the extrinsic phrase from its surroundings. The transition prepares for a secondary theme in the (major) dominant, E major. When the extrinsic phrase arrives in E minor, it represents a significant departure—in terms of mode—from the transition's preparations, creating an important point of contrast between the two sections. Until the onset of the secondary theme in the major dominant, the status of the minor dominant key—i.e. whether it acts as an unexpected, non-normative secondary key in which the exposition will end or as a temporary diversion—remains unknown. The entrance of the secondary theme in the major dominant casts the extrinsic phrase into a kind of modal chiaroscuro with its surroundings, signaling that the extrinsic phrase functions independently from the secondary theme and that the minor dominant functions as a local diversion.

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[22] This expectation is inherent to the construction of a two-part sonata form exposition. As long as the transition concludes with a cadence and medial caesura, the normative expectations of the form—i.e. that the secondary theme follows—strongly imply that any section after this point serves a different function.
[23] The sudden drop to *piano* in the second violin (and only the second violin) just prior to the cadence coupled with the continued rhythmic motion in the cello impacts the strength of this ending.

Changes in other domains also contribute to the extrinsic phrase's separation. The primary and secondary themes share a motive. The motive consists of a sixteenth-note triplet that descends a third followed by two longer note values (a quarter note and an eighth note) that ascend a step. The two themes use this motive in different contexts—the work is in no way monothematic. During the primary theme, instances of this motive occur juxtaposed, as in m. 3 in the first violin. During the secondary theme, iterations of this motive are separated by intervening material; the motive may be seen on the third beats of mm. 18, 19, 20, and 21. Regardless of the differences in use, primary and secondary themes are clearly motivically related. This correlation creates a strong separation signal. The omission of this motive from the extrinsic phrase marks those measures as non-thematic.

Strong-state separation signals also occur in the texture and orchestration domains. The extrinsic phrase's imitative opening uses a marked texture that differs from the rest of the exposition.[24] The extrinsic phrase's more sparse use of the cello, particularly during this imitative section, differs greatly from the primary and secondary themes, which both include the cello as a melodic instrument.[25] During the primary theme, the cello takes on a melodically active role in mm. 5–6; in the secondary theme, the cello and first violin provided the melody for the first four bars. Like the shared melodic motive discussed above, the absence of the cello from the extrinsic phrase marks that section as functionally different from the secondary theme that follows it.

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[24] A similarly canonic extrinsic phrase occurs in the first movement of Boccherini's String Trio in F, G. 77, another of the trios from his collection of Six String Trios, op. 1. There, the second violin initiates a canon similar to that which occurs in the second movement of G. 79.

[25] As a cellist himself, Boccherini tends to use the instrument in more melodically active roles than one might normally associate with this time period. In his set of Six String Trios, op. 1, the more virtuosic passages in the cello tend to coincide with tonally less stable sections, namely the transition (the first movements of the String Trio op. 1, no. 3 in F Major and the String Trio op. 1, no. 4 in B-flat Major both use this orchestration plan). The movement in question, however, saves melodic passages in the cello for more stable, thematic sections.

The use of novel rhythmic ideas during the extrinsic phrase establishes it as an independent section within the work. The extrinsic phrase's extensive use of dotted rhythms separates it from the other sections of the exposition where syncopation, if present, plays a negligible role.[26] The dynamics signal only features a separation at one boundary of the extrinsic phrase, not at both. The change in dynamics that follows the transition supports understanding the extrinsic phrase as part of the second half of the exposition. The end of the extrinsic phrase lacks a similar change in dynamics, but other signals—especially the changes in modality and melody described above—provide a more than sufficient indication of the extrinsic phrase's functional autonomy.

Boccherini, Cello Sonata, G. 1

In a manner similar to the string trio, the first movement of Boccherini's Cello Sonata in F Major, G. 1 uses an extrinsic phrase to call attention to the division between the first and second halves of the exposition (i.e. the first rotation). However, the sonata presents a situation wherein the extrinsic phrase's recurrence in the second rotation of this Type 2 sonata form influences the interpretation of its role in the exposition and indeed the structure of the exposition in its entirety. As discussed in Chapter 1, the second rotation of a Type 2 sonata form combines a development section that encompasses the primary theme and transition with tonal resolution of the secondary theme and (optional) closing theme. Because of this, the point at which the tonal resolution begins can have an impact on one's interpretation of the exposition, particularly in ambiguous or unclear cases. In Boccherini's

[26] Dotted rhythms occur at only two other points during the exposition: in m. 12, immediately prior to the medial caesura and at m. 27, just before the final cadence. The latter instance occurs well after the onset of the secondary theme and therefore does not contribute to any sense of separation (either positively or negatively). The former instance occurs in the first violin during the dominant prolongation that precedes the medial caesura. Neither instance uses the rhythm extensively or in a contour similar to the extrinsic phrase.

cello sonata, the second rotation of the movement provides a clearer initial view of the extrinsic phrase. For that reason, the following discussion examines the second rotation first.

Figure 3.3 provides a score to the movement. The second rotation begins with the development at m. 22. The first phrase, mm. 22–28 corresponds to the first seven measures of the exposition and ends with a V:HC. Given their location and their repetition in dominant during the second rotation these measures likely form all or part of the primary theme.[27] A virtuosic development and retransition follows, ending with a V:IAC at the beginning of m. 37. The retransition, mm. 32–37, corresponds to mm. 7–11 from the exposition.[28] Following the retransition, mm. 37–43 present an extrinsic phrase in F minor. The secondary theme, mm. 44–49, follows and concludes the movement with a strong PAC in the tonic, F major. The extrinsic phrase and the secondary theme correspond to mm. 11–17 and 17–21, respectively. Each represents an extended version of the original statement in the exposition.

[27] Boccherini begins several of his second rotations with transpositions of all or part of the primary theme. The second rotation of the string trio discussed above (G. 79) also opened its development with the primary theme transposed to the dominant as does the first movement of the String Trio in F Major, G. 77.

[28] Although the cello part changes slightly between the exposition and the second rotation, the rhythm and contour of that part, coupled with the more exact repetition in the bass, a clear correspondence between these measures exists.

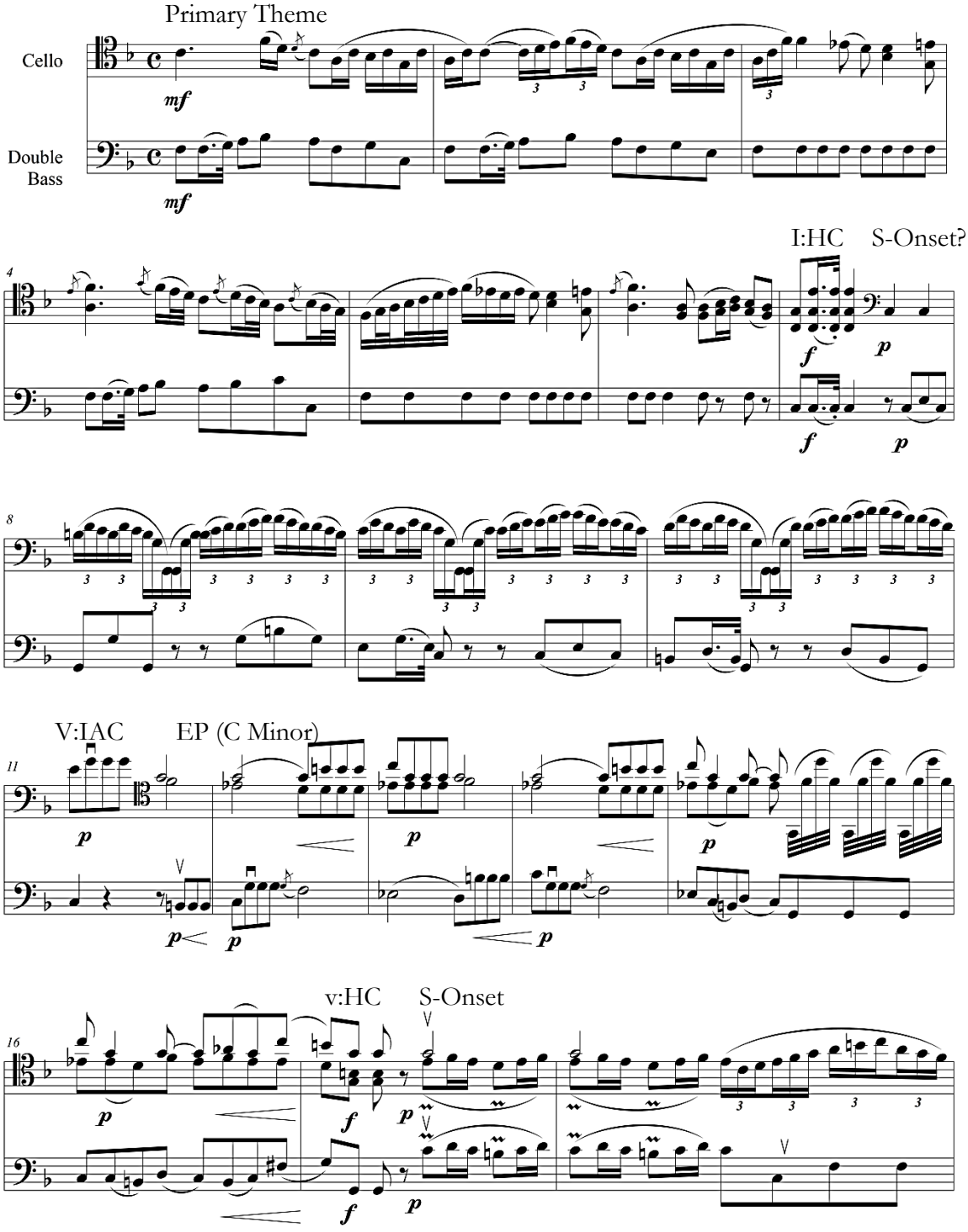


Figure 3.3 Boccherini, Cello Sonata G. 1, i

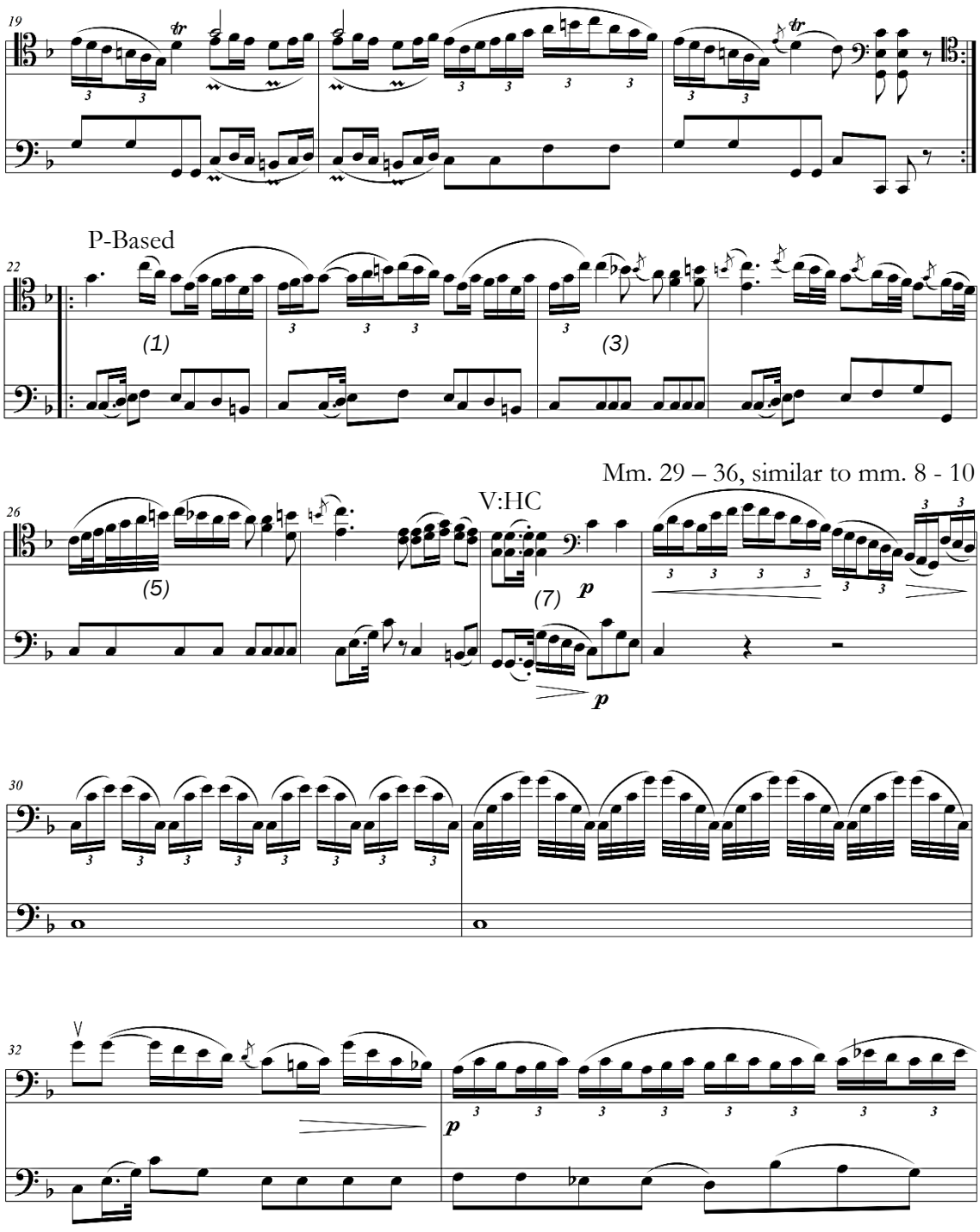


Figure 3.3, continued

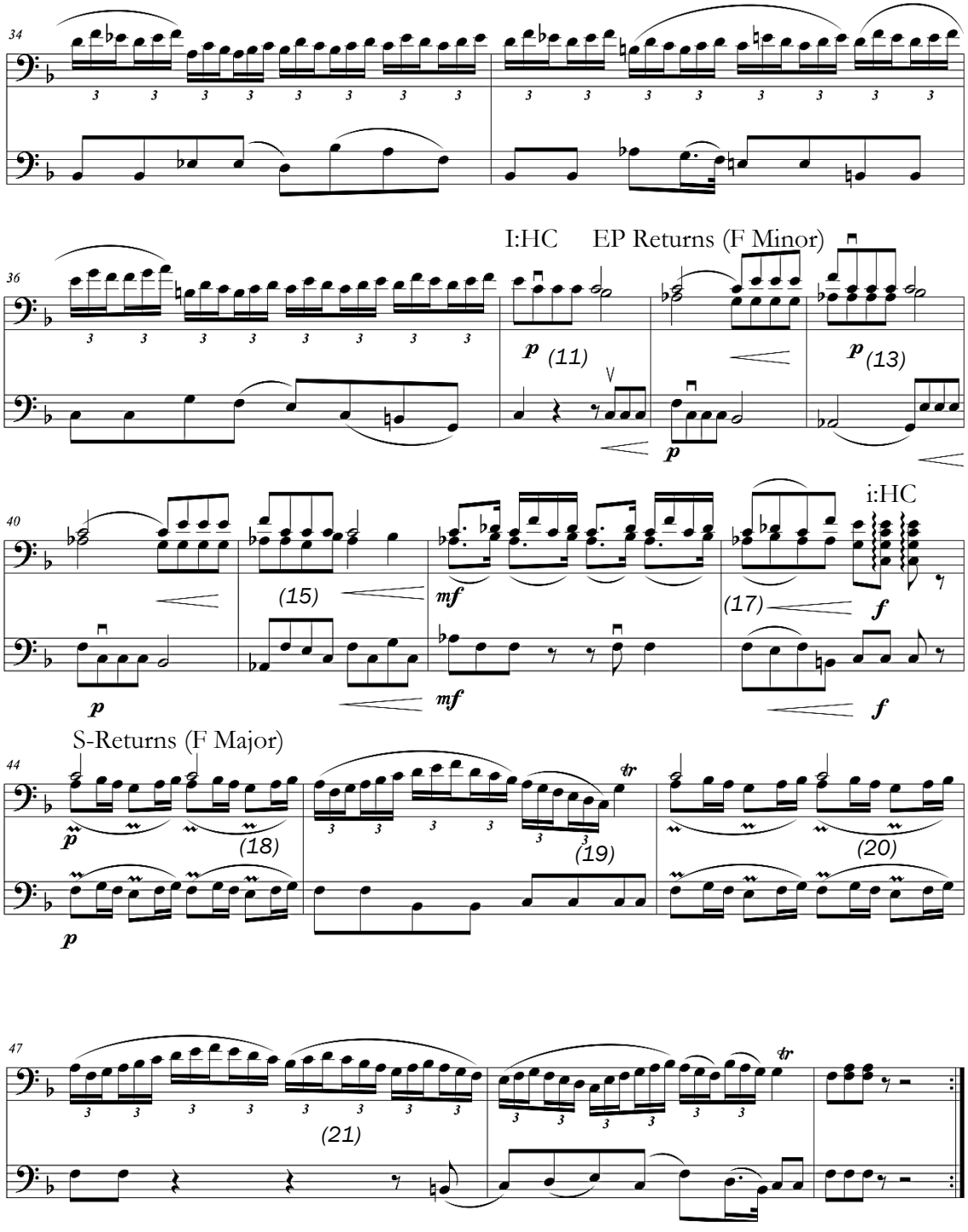
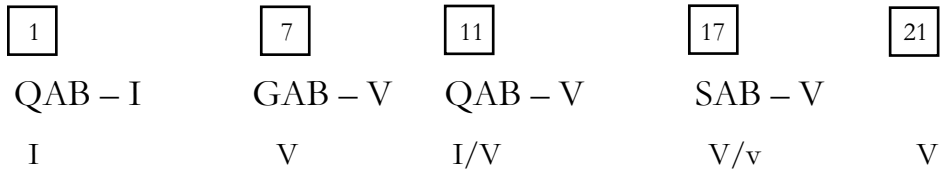


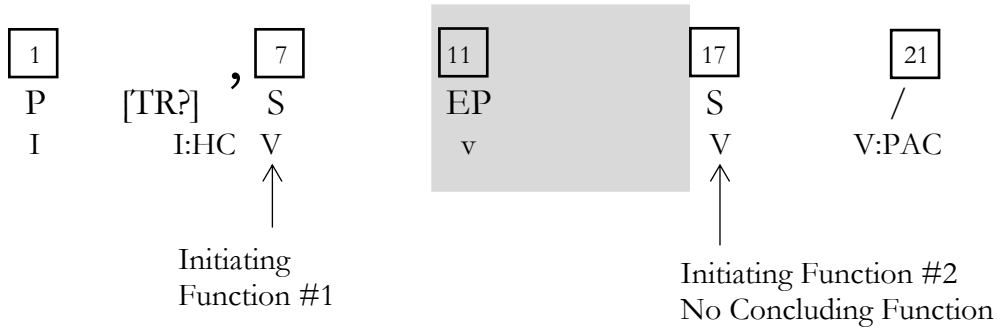
Figure 3.3, continued

The exposition presents a greater challenge for an analyst both because of the inclusion of the extrinsic phrase and because of the ambiguous function of mm. 7–11. How one understands their function in the exposition depends in part on one's familiarity with the piece as a whole, especially the second rotation. To begin the analysis here, Figure 3.4a diagrams the exposition using Koch's terminology, creating an account of the exposition's events devoid of current terminology (including the term "extrinsic phrase"). The exposition begins with a *Quintabsatz* in the tonic that ends on V (mm. 1–7). Three phrases that end in the secondary key, the dominant, follow: a *Grundabsatz* in V (mm. 7–11), a *Quintabsatz* in v (mm. 11–17), and a *Schlußsatz* in V that ends with a PAC (mm. 17–21). Compared to Koch's model exposition discussed in Chapter 2, the secondary key appears much earlier here, in the cello sonata.

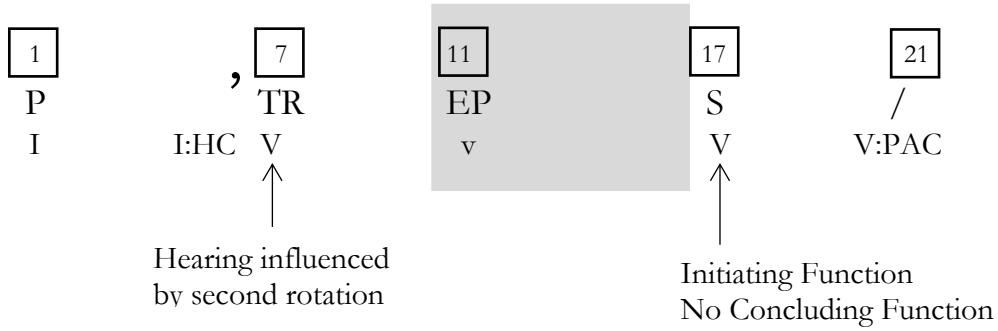
This seemingly early arrival of the secondary key coupled with the extrinsic phrase creates an analytical problem when interpreting this exposition using current terminology. Either mm. 7–11 act as an early, abandoned onset to the secondary theme, or, in light of their function during the second rotation, they act as a transition. The former interpretation more closely adheres to the events of the exposition, but doesn't account for how the second rotation might affect one's understanding of the exposition. The latter interpretation accounts for the influence of the second rotation, but fails to capture the exposition's inherently confusing chain of events—effectively erasing some of the effect of mm. 7–11 as well as the extrinsic phrase.



3.4A: Koch's Terminology[29]



3.4B: mm. 7 – 11 as abandoned S



3.4C: mm. 7 – 11 as Transition

Figure 3.4 Three Interpretations of Boccherini's Cello Sonata G. 1, i, Exposition

[29] The abbreviations used here for Koch's terminology are the same as those used in Chapter 2. "GAB" indicates a *Grundabsatz* in key "X", ending on the tonic of X; "QAB" indicates a *Quintabsatz* in key "X", ending on the dominant of X; and SAB indicates a *Schlußsatz* in key "X", ending with a PAC in X.

Figure 3.4b diagrams the first of these interpretations, which casts mm. 7–11 as an early, abandoned onset of the secondary theme. Measures 1–7 serve mainly as the primary theme, but affect a strong I:HC at their conclusion. Following this cadence and gap, mm. 7–11 enter as an early secondary theme onset at which point one reinterprets the preceding half cadence and gap as an equally-early medial caesura.[30] Although the corresponding material becomes the retransition during the second rotation, mm. 7–11 present two important characteristics of a normative secondary-theme onset in the dominant, C major: one is a drop in dynamics from *forte* to *piano* and the other is an emphasis on the tonic and the dominant of the secondary key. The phrase ends with a V:IAC at the beginning of m. 11. The measures identified as the extrinsic phrase during the second rotation (mm. 11–17) and the secondary theme (mm. 17–21) follow in C minor and C major, respectively. These measures differ only in key and length from their counterparts in the second rotation (remember that second rotation extends the extrinsic phrase and secondary theme). Notably, these two sections are the only portions of the exposition to return in the tonic key during the second rotation.

In Figure 3.4b, two portions of a secondary theme surround the extrinsic phrase. One could say that the extrinsic phrase interrupts the secondary theme, but this suggests that the outer portions form a cohesive thematic gesture.[31] The first portion of the theme here does appear to initiate a normative secondary theme, an idea reinforced by the *piano* dynamic marking and the oscillation between tonic and dominant harmonies. The second group of

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[30] Caplin describes situations wherein various formal functions fuse together, but that doesn't seem to be the case here. If the primary theme and transition fused into a single phrase in mm. 1–7 one would expect evidence of both functions. Instead, only the primary theme function, the introduction of thematic material and the home key, occurs. See William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven*, (New York: Oxford University Press, 1998), 165–67 where the author discusses fusion in recapitulations.

[31] The first movement of Boccherini's String Quintet in E-flat Major, G. 266 presents a situation wherein an insertion in the minor mode interrupts a cohesive secondary theme. Boccherini inserts a repeated four-bar idea in the dominant minor between the two statements of a repeated phrase that form his secondary theme.

measures, mm. 17–21, presents another initiating passage.[32] Measures 7–11 attempt to initiate the secondary theme, but fail to do so as evinced by their exclusion from the tonal resolution during the second rotation.

Familiarity with the second rotation may change one's interpretation of the exposition, leading to the analysis shown in Figure 3.4c. This version of the exposition takes the events of the second rotation as a model. Like the interpretation of the exposition presented above, the primary theme here occurs in mm. 1–7. Unlike that interpretation, the I:HC at m. 7 does not simultaneously function as the medial caesura. Instead, mm. 7–11 function as the transition. The extrinsic phrase follows in mm. 11–17, and the brief secondary theme, mm. 17–21, concludes the exposition. Although it minimizes the effect of mm. 7–11, this interpretation matches both a more traditional order of events for an exposition and the events of the second rotation.

Regardless of which interpretation of the exposition one hears, the function of the extrinsic phrase provides an element of contrast within the exposition. How one understands the exposition here depends on one's familiarity with the piece and the performance itself.[33] Increased familiarity with the piece, particularly with the second rotation, suggests the interpretation presents in Figure 3.4c. In that analysis, mm. 7–11 have a latent or under-developed transition function during the exposition. The second rotation realizes the potential of these measures by using similar, rhythmically active material, but expanding and reharmonizing this material in a way that better conveys the function of these measures. In the second rotation, the extrinsic phrase initiates the tonal resolution, drawing

[32] Scarlatti's Keyboard Sonata in F Minor, K. 184 presents a similar pattern wherein an initial secondary theme onset follows the medial caesura and precedes an extrinsic phrase. There, however, the extrinsic phrase includes a modulation.

[33] Chapter 5 examines how performance may affect one's recognition of extrinsic phrases. Naturally, some of the material discussed there applies equally well to how performers shape any interpretation of a work.

attention to that point with its use of the minor mode. By beginning the tonal resolution after the point corresponding to the early secondary theme onset in m. 7, the second rotation marks the extrinsic phrase as the beginning of the second half of the exposition.

For the most part, the extrinsic phrases in the exposition and the second rotation share the presence and strength of their separation signals.[34] The extrinsic phrases only differ in terms of two signals: endings and dynamics. In the exposition, the confusion surrounding the extrinsic phrase—i.e. the absence of a clear transition, early onset of the secondary theme and comparatively weak V:IAC concluding that onset—affects the strength of the ending signals that precedes the beginning of the extrinsic phrase.[35] As the second rotation transforms mm. 7–11 into a retransition that creates a clearer sense of closure (and purpose), the endings signal there occurs in a strong state. Although the second rotation features a stronger ending before the extrinsic phrase, the onset of the extrinsic phrase no longer coincides with a written change of dynamics there. For this reason, the dynamics signal in the second rotation occurs in a non-strong state.[36]

Boccherini uses the same internal phrase structure as the extrinsic phrase from G. 79—the sentence with a short continuation—for this extrinsic phrase. The effect here, however, differs somewhat. In the string trio, the extrinsic phrase and secondary theme both used a sentence structure. In the exposition of the cello sonata, the extrinsic phrase acts as the lone tightly-knit phrase structure. The sections surrounding the extrinsic phrase consist

[34] Figure A.2 in Appendix A compares the separation signals that support the extrinsic phrase in the exposition and the second rotation.
[35] Note that the type of cadence here, the V:IAC, does not affect the strength of the closure. Though Hepokoski and Darcy do not list the V:IAC as an option for a cadence preceding the medial caesura, some use it occasionally: for example, the first movement of Beethoven's String Quartet in C major, op. 59, no. 3, measure. See Hepokoski and Darcy, *Elements*, 25–29.
[36] Given the precedent for the dynamic change in the exposition, an implied change in dynamics might be understood during the second rotation.

of more loosely constructed phrases. These looser phrase structures also highlight the more tightly-knit extrinsic phrase.

Gaviniès, Violin Sonata, op. 3, no. 1

Pierre Gaviniès's Sonata for Violin in A Major, op. 3, no. 1, presents a modally contrasting extrinsic phrase in the context of a Type 3 rather than a Type 2 sonata. Gaviniès's violin sonata uses a more loosely constructed extrinsic phrase. Importantly, the extrinsic phrase employs non-normative harmony as a method of separating itself from the secondary theme, which differs from the extrinsic phrases examined here. Furthermore, the extrinsic phrase in the violin sonata takes on a different role during the recapitulation where it substitutes for an omitted function from the exposition.

Figure 3.5 provides the score to the first movement of the violin sonata.[37] The primary theme, mm. 1–6, opens with a presentation phrase, the beginning of a sentence structure, but cuts its continuation short to conclude with a I:PAC in m. 6. The transition, mm. 7–16, also presents a sentence structure. It ends with a V:HC followed by the medial caesura which consists of a rest in the continuo part and a held note in the violin.

The extrinsic phrase begins with the anacrusis to m. 17 and concludes at m. 23 with a half cadence in E minor. As in Boccherini's String Trio, G. 79, this anacrusis temporarily seems like a normative secondary theme onset before the continuo's entrance. A melodic sequence occupies the entirety of the extrinsic phrase and, though the melody seems indicative of E minor in the early part of the phrase, the harmonies remain ambiguous. Only at the articulation of the E-minor chord in m. 20 does the key become clear, after which the extrinsic phrase concludes on the dominant. The anacrusis here plays a double role.

[37] For convenience, Figure 3.5 provides a condensed, single-staff realization of the figured bass.

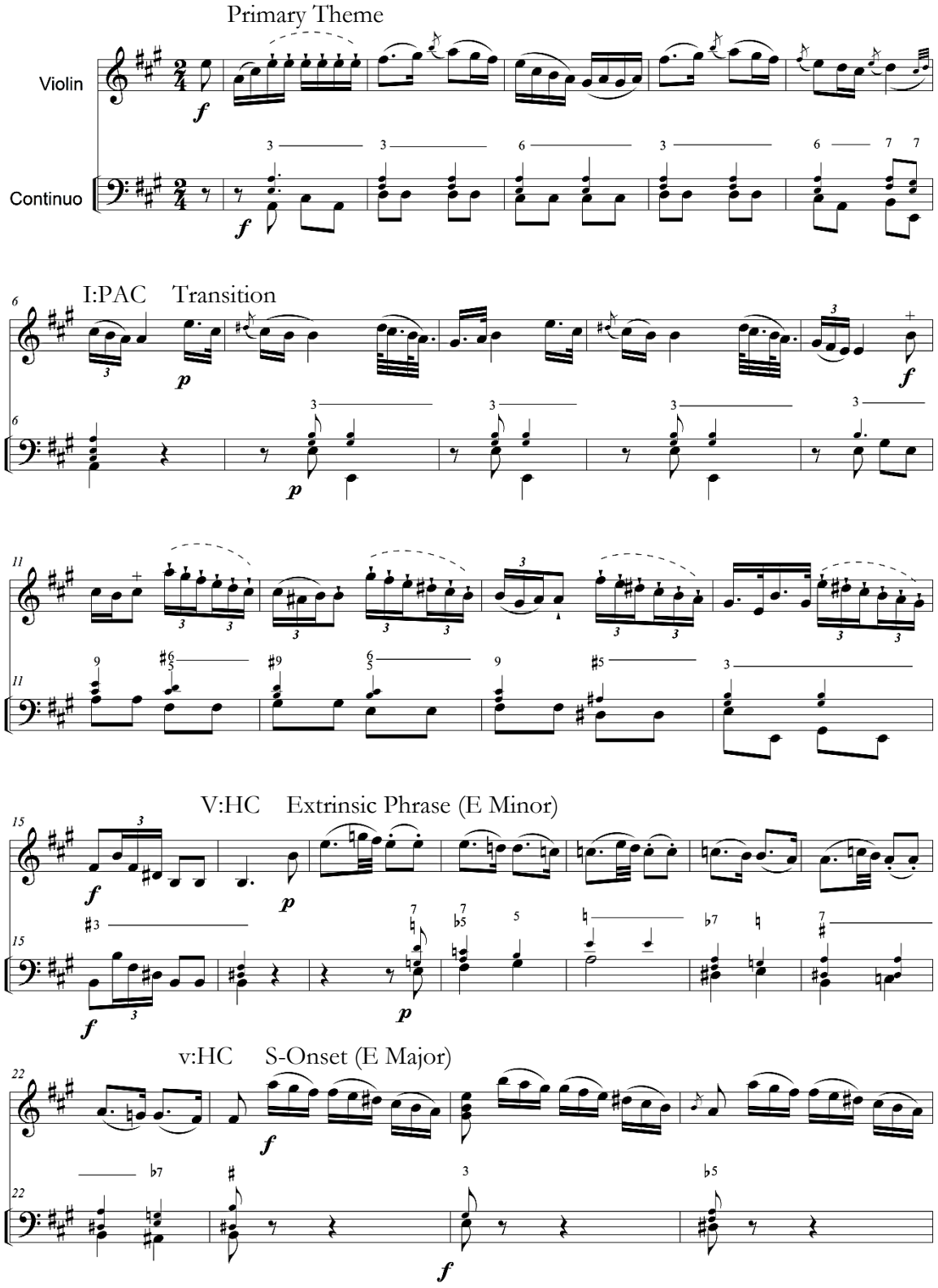

Figure 3.5 Gaviniès Violin Sonata Op. 3, no. 1, i, Exposition

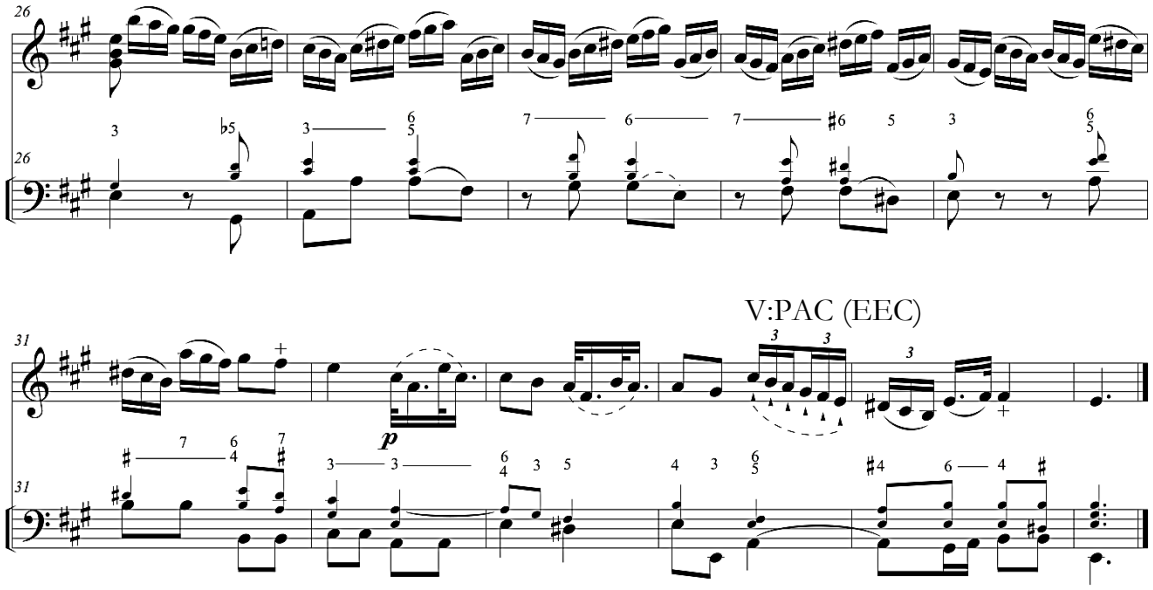

Figure 3.5, continued

The initial leap from B to E affirms the medial caesura (and seems like the secondary theme onset one expects thereafter). The melody continues in m. 17, before the entrance of the continuo, and outlines the minor tonic chord. Although the extrinsic phrase contains non-normative harmonic syntax in mm. 17–20, this initial minor tonic supports the extrinsic phrase as a separate section, and not a continuation of the transition.

A drastic change in dynamics, from *piano* to *forte*, demarcates the onset of the secondary theme, mm. 23–36.[38] The secondary theme uses an extended sentence structure in E major, the prepared secondary key. The continuation, mm. 29–32, leads to deceptive motion instead of a PAC; a repetition in mm. 32–36 concludes the secondary theme and the exposition with a V:PAC. The texture becomes noticeably more sparse during the presentation of the sentence structure (mm. 23–26), creating a contrast between it and the

[38] The *forte* dynamic marking that initiates the secondary theme at m. 23 defines it as a separate entity from the extrinsic phrase. Although non-normative for a secondary-theme onset, this dynamic responds to the extrinsic phrase's dynamic (*piano*) not the transition.

extrinsic phrase. These same measures use descending scales stated in sixteenth-note triplets, returning to a melodic motive from the transition (see mm. 11–14). The correlation of the transition and secondary theme's melodic motives creates a strong separation between these sections and the extrinsic phrase.

This extrinsic phrase is unique among the modally-contrasting extrinsic phrase examples because it uses the harmony signal as well as the unexpected modality.[39] Remember from Chapter 2 that composers sometimes use non-normative harmonies or harmonic motion, particularly at the beginning of the extrinsic phrase, to separate the extrinsic phrase from the secondary theme. The harmony here avoids key-establishing harmonies in E major or even the unprepared mode, E minor. This differs from normative expectations of a secondary theme onset and indicates that these measures serve another function.[40]

In Boccherini's Cello Sonata, G. 1, the extrinsic phrase's use of a more tightly-knit structure differentiated it from the other sections of the exposition, all of which used looser phrase structures. In this movement, the opposite effect occurs. The sentence structure, in complete or truncated form, occurs in all sections of the exposition except the extrinsic phrase. The extrinsic phrase appears to use this structure at first, but the third repetition of the sequential melody occurs where a continuation would begin. The correlation of the exposition's other phrase structures marks the extrinsic phrase as an outsider within the form. The use of a sentence structure in the secondary theme creates a self-contained unit that clearly excludes the extrinsic phrase, suggesting that it serves a separate purpose.

[39] Figure A.3 in Appendix A summarizes the separation signals present in the exposition.
[40] As discussed in Chapter 2, the expectation following a medial cadence and caesura is for a strong harmony in the new key, i.e. either the dominant or tonic of the prepared key, to open the secondary theme and establish that key.

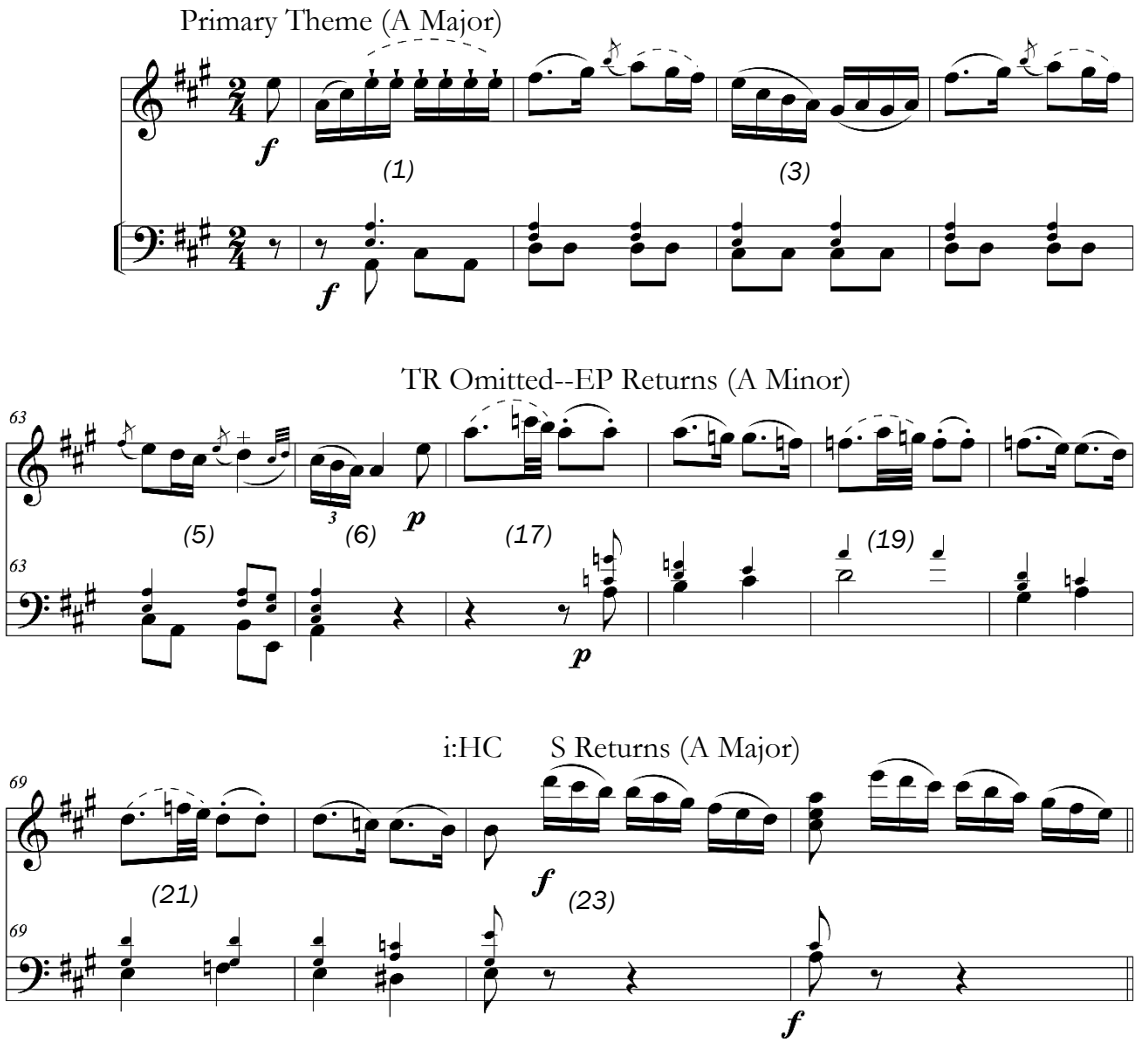

Figure 3.6 Gaviniès**,** Violin Sonata op. 3/1/I, Recapitulation, mm. 59–72

The recapitulation of this movement transforms the extrinsic phrase, a non-normative addition to the exposition, into a syntactically appropriate portion of the piece because of the omission of the transition.

Figure 3.6 shows the recapitulation.[41] The extrinsic phrase, mm. 65–71, occurs immediately after the primary theme. This maintains a separation between the thematic portions of the rotation in the transition's absence. Some elements of the extrinsic allow it to

[41] Like the previous example, Figure 3.6 provides a condensed, single-staff realization of the figured bass.

stand in for the transition—the change in mode, sequence and chromatic harmonies create tonal instability similar to a transition. Although not reinforced like a medial caesura, the conclusion of the extrinsic phrase with a I:HC conforms to expectations for the end of the transition.

Pugnani, Sonata for Two Violins and Continuo, op. 1, no. 2

Gaetano Pugnani's Sonata for Two Violins and Continuo in C Major, op. 1, no. 3 presents the first of two examples that lack a cadence or dominant arrival at the end of the extrinsic phrase seen in previous examples. Both Pugnani's sonata and Scarlatti's Keyboard Sonata in B-flat, K. 473 exhibit extrinsic phrases that repeat a basic idea in the minor dominant. This means they could function as part of a larger phrase structure, such as a sentence. Instead of ending with a strong cadence, the extrinsic phrases in these movements end somewhat abruptly, in a manner similar to the secondary theme (i.e. mm. 17–21) from the exposition of Boccherini's cello sonata.

Figure 3.7 provides an annotated score to the exposition of Pugnani's Sonata for Two Violins. The imitative primary theme, mm. 1–11, concludes with an IAC in the tonic key, C major. The transition, mm. 12–27, begins with a stepwise descent in the bass from the tonic to the dominant. The inclusion of E-flat in mm. 16–18 here foreshadows the extrinsic phrase's shift to the minor mode. At m. 27, the transition concludes with a I:HC. A pause in all voices—due to the rest and held pitch—follows this cadence.

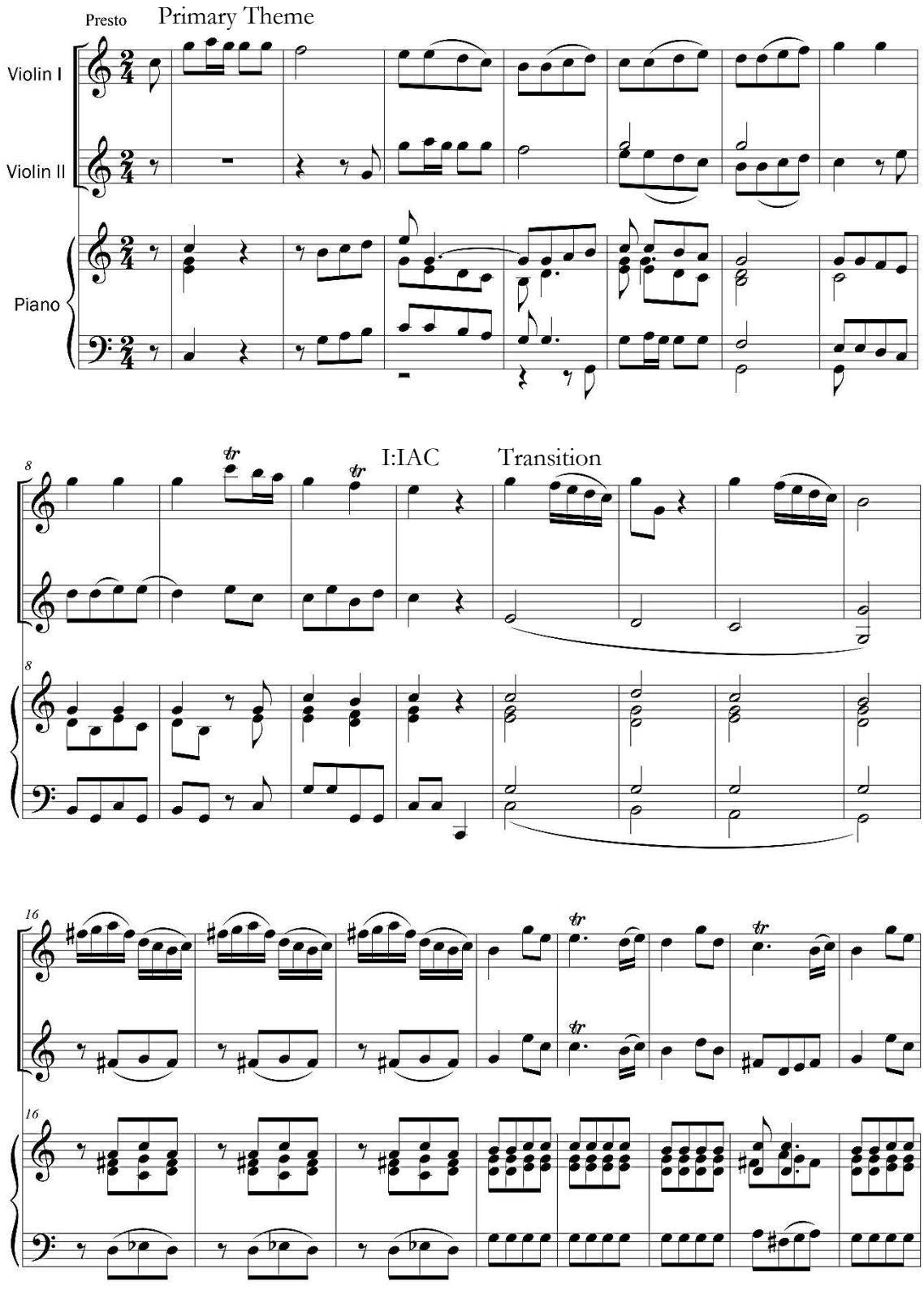

Figure 3.7 Pugnani, Sonata for Two Violins Op. 1, no. 3, ii, Exposition

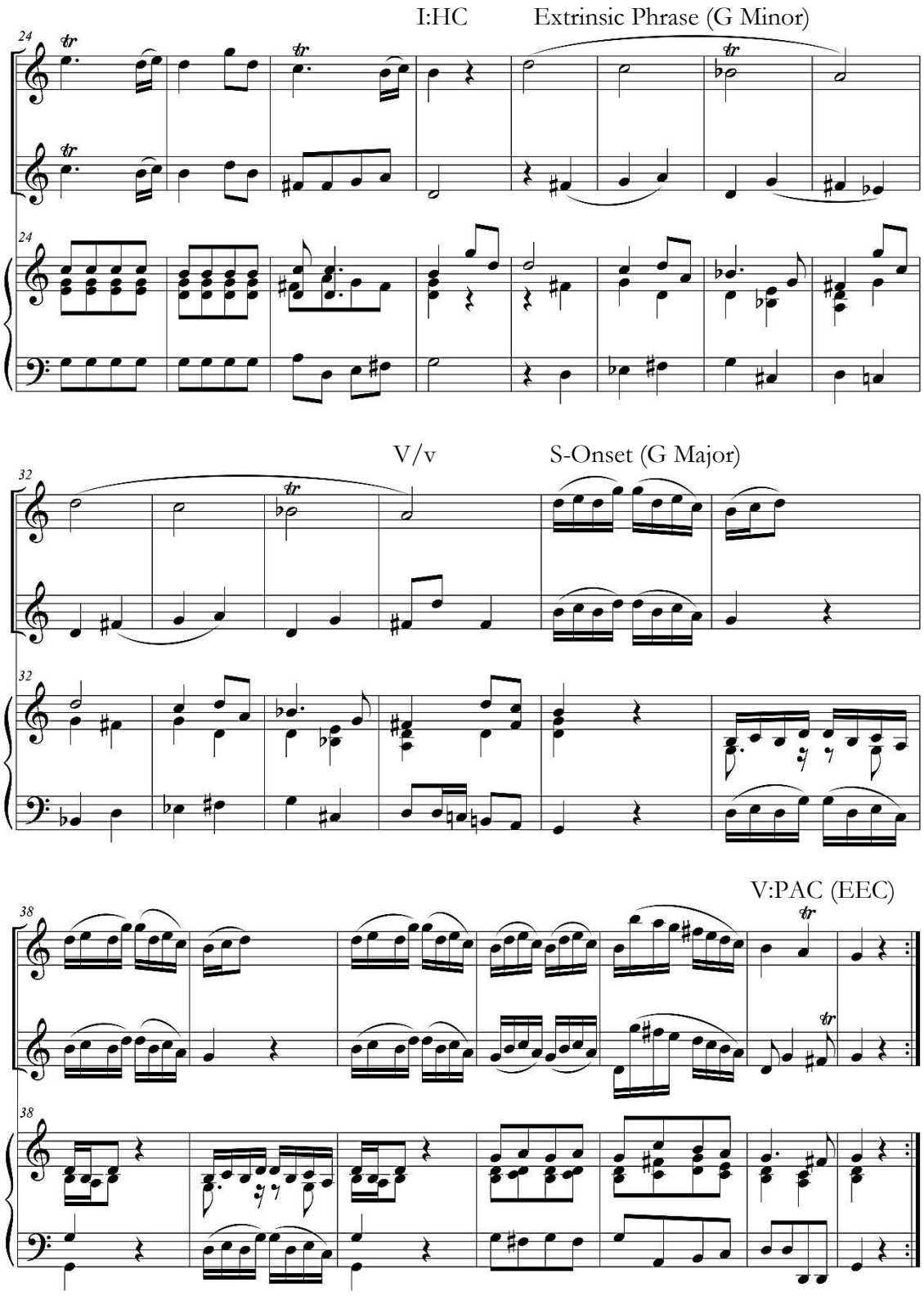

Figure 3.7, continued

The extrinsic phrase, mm. 28–35, consists of a repeated, four-bar idea in G minor. The extrinsic phrase ends on D major (V/v) following the idea's repetition. Unlike previous examples, the extrinsic phrase here shares a motive with the transition's first four measures (mm. 12–15). The descending fourth that occur in keyboard and the second violin during mm. 12–15 returns (repeated) in the first violin during mm. 28–35. Regardless, the extrinsic phrase sounds dissimilar to the initial measures of the transition because of the various separation signals in use.

The texture of these measures, where all voices carry more-equal weight, stands out when compared to the other sections of the exposition.[42] Changes in orchestration coincide with this difference in texture. Up to this point, the two violins play a more active role than the keyboard accompaniment. During the extrinsic phrase, however, the keyboard becomes a more active voice while the two violins become more passive. Unlike the idea's original statement in mm. 28–31, the repetition stretches this dominant to occupy a full measure. The changes that occur at the end of the four-bar idea's repetition create a stronger, albeit still non-cadential, conclusion to the extrinsic phrase.[43]

While other movements examined above included changes in dynamics that coincided with the beginning of the extrinsic phrase and the onset of the secondary theme, Figure 3.7 contains no dynamic markings at all.[44] The extrinsic phrase, however, does make use of other separation signals that indicate that it forms an independent section. The chorale-like texture of the extrinsic phrase, where all voices carry more-equal weight, stands

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[42] Figure A.4 in Appendix A summarizes the separation signals present in the exposition.

[43] The effect here is similar to the alterations made to the secondary theme during the second rotation of the first movement of Boccherini's Cello Sonata G. 1. There, the addition of a quasi-concluding passage at the end of the repeated idea created a greater sense of an ending than the analogous passage from the exposition which included no such conclusion.

[44] The example here lacks any dynamic markings as the only available edition contained markings that were possibly incongruous with what the composer wrote. As such, I have chosen to include the movement without dynamic markings here. The original edition for this piece may be found in Appendix B.

out when compared to the other sections of the exposition. Changes in orchestration coincide with this difference in texture. Up to this point, the two violins play a more active role than the keyboard accompaniment. During the extrinsic phrase, however, the keyboard becomes a more active voice while the two violins become more passive.

The secondary theme, mm. 36–44, uses a sentence structure in G major that differs from the looser structure of the extrinsic phrase.[45] A shift in texture from the extrinsic phrase's chorale texture to a call and response between the soloists and *basso continuo* accompanies the onset of the secondary theme. During the continuation of the sentence structure, the violins dominate the melody and the keyboard returns to a more conventional accompaniment. The secondary theme (and the exposition) ends with a V:PAC at m. 44.

Unlike previous examples, where the extrinsic phrases ended with a clear cadence, the extrinsic phrase in Pugnani's sonata depends on the onset of the secondary theme to establish its conclusion. The repeated idea that forms the entirety of the extrinsic phrase primarily prolongs the dominant of G minor (V/v). Despite the alterations in the latter part of the extrinsic phrase, it remains loosely organized and fails to reach a strong conclusion. The extrinsic phrase's use of a repeated idea along with that idea's limited harmonic motion makes the entire passage seem like the beginning of a larger structure left incomplete (e.g. a sentence). The onset of the secondary theme halts the extrinsic phrase's progress.

[45] Similar contrasts between the extrinsic phrase and the secondary theme also occur in the first movement Boccherini's Cello Sonata, G. 1, the first movement of Gaviniès's Violin Sonata, op. 3, no. 1, and Scarlatti's K. 473.

Scarlatti, Keyboard Sonata, K. 473

Scarlatti's Keyboard Sonata in B-flat Major, K. 473 presents a similar situation. Figure 3.8 provides an annotated score to the exposition. The primary theme, mm. 1–9, ends with a I:PAC. The transition occurs in mm. 10–23 and ends with a half cadence in the dominant, F major (V:HC). *Fermatas* accompany the cadence; the medial caesura gap, a one-beat pause in all voices, follows in m. 24.[46]

An extrinsic phrase in the minor dominant, mm. 24–28, delays the onset of the secondary theme. As in previous extrinsic phrases, the initial notes of this phrase appear to initiate a normative secondary theme, but the A-flat at the end of m. 24 asserts the unexpected mode. This extrinsic phrase consists of a two-bar idea and its repetition. Unlike the movement by Pugnani, Scarlatti's keyboard sonata repeats its idea unaltered. The idea opens with the tonic of the dominant minor and moves through the leading tone to the submediant (VI) before concluding with a cadential six-four chord followed by the dominant.

This extrinsic phrase continues the use of motivic material found in both the primary theme and the transition (with some changes). Although this seems to imply that the transition continues here, but certain aspects of the music indicate otherwise. First, Scarlatti creates a strong medial caesura in mm. 23–24 using a V:HC emphasized with a *fermata* and a quarter-rest of silence in all voices. Ralph Kirkpatrick, in his discussion of Scarlatti's keyboard sonatas, describes the other considerations here: "the location of the Crux [the midpoint of the sonata's first half, similar to Hepokoski and Darcy's medial caesura concept] is always dependent on two factors, establishment of the closing tonality and establishment

[46] Scarlatti often punctuates the medial caesura with *fermatas* over the final harmony of the medial cadence, the gap itself, or a combination thereof.

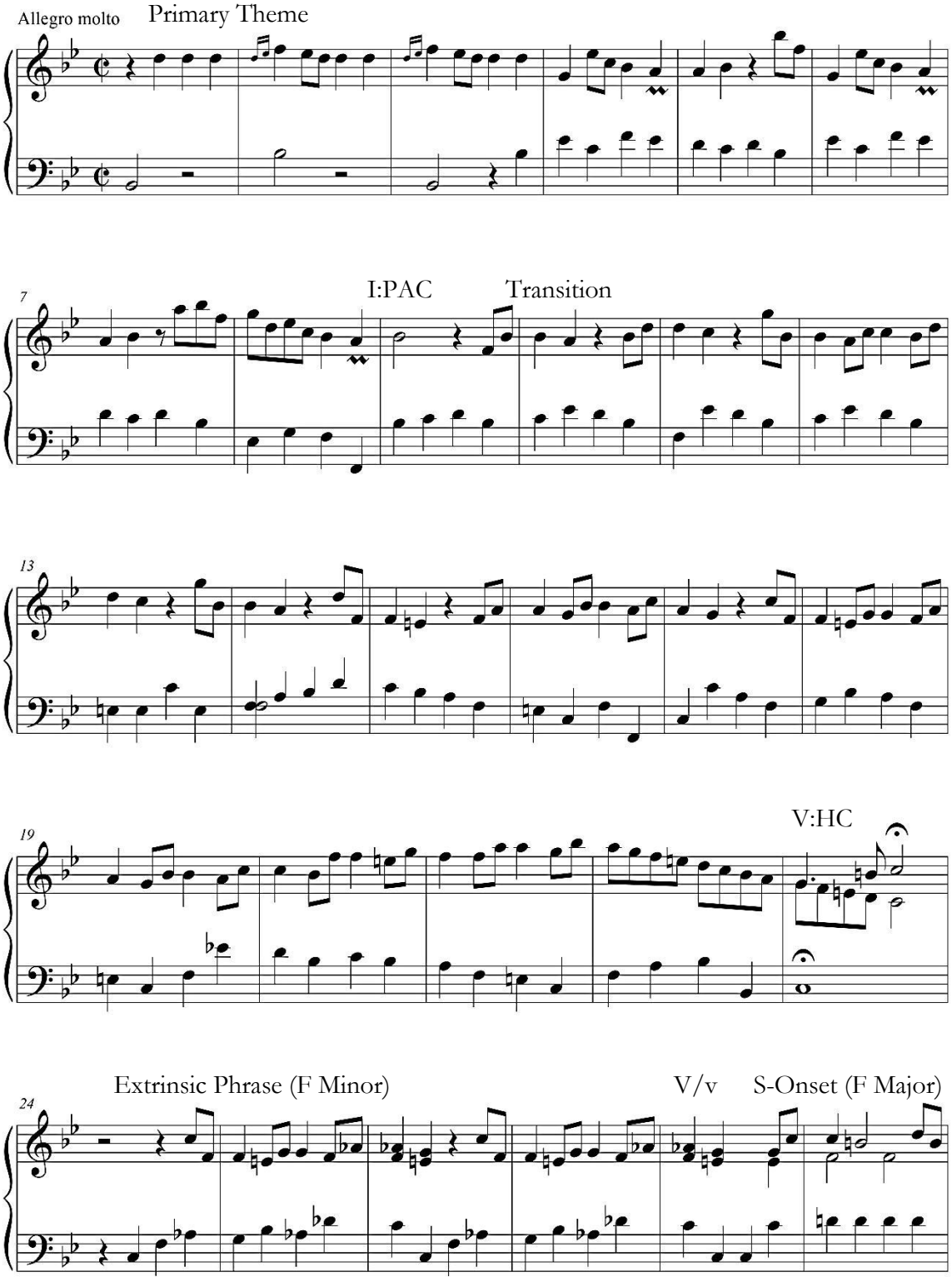


Figure 3.8 Scarlatti, K. 473, Exposition

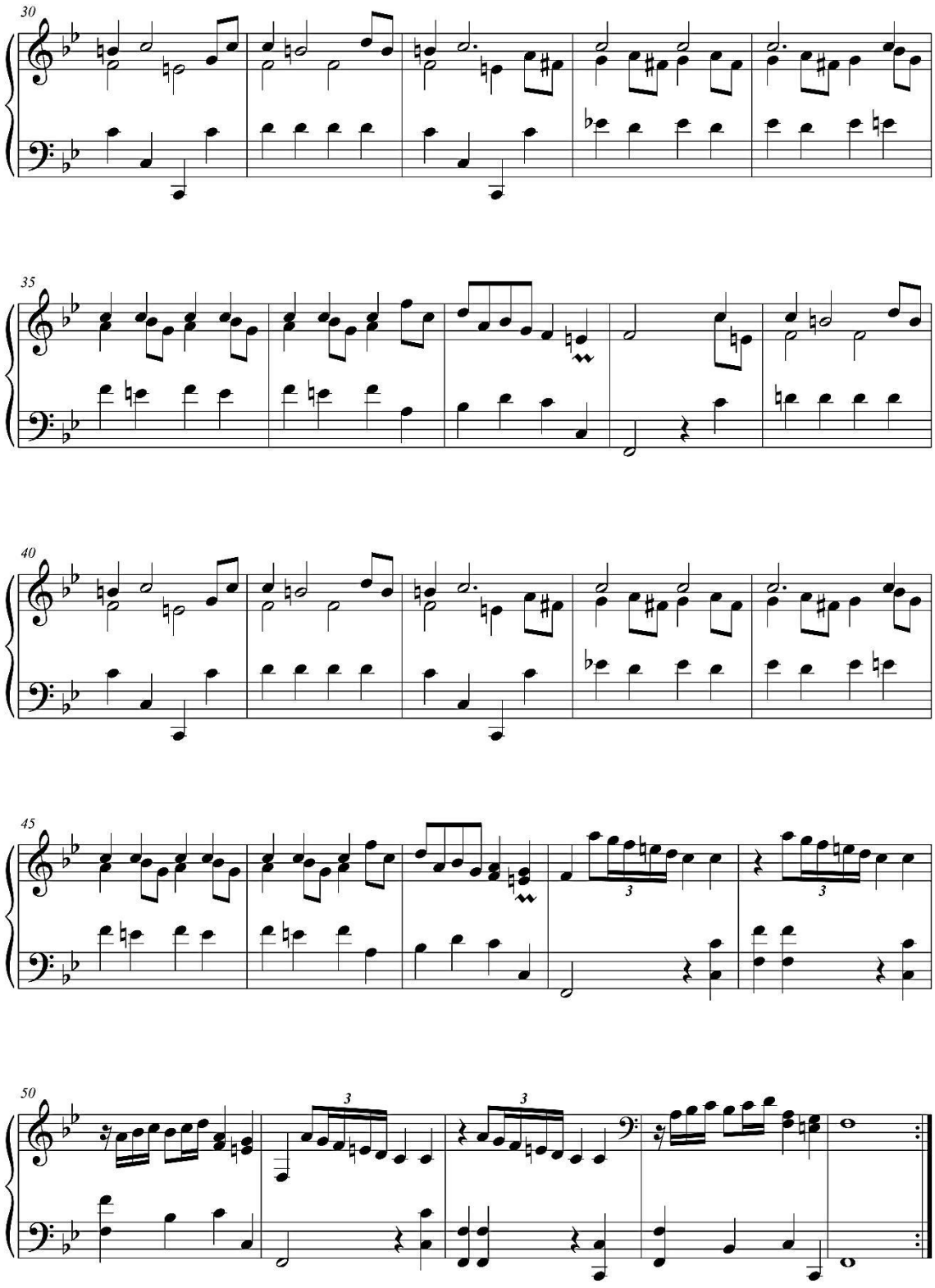


Figure 3.8, continued

of thematic parallelism between the halves."[47] Although mm. 24–28 do not establish the secondary key, F major, they do indicate a change in tonic from the first half of the exposition. During the second rotation of the movement, the extrinsic phrase initiates the tonal resolution (in the tonic minor). Because of this, and despite the motivic similarities between the transition and the extrinsic phrase, the extrinsic phrase remains separate from the transition.

In earlier examples, particularly those by Boccherini, the extrinsic phrase's two-bar idea and its repetition would act as the beginning of an extrinsic phrase, not the phrase in its entirety. Instead of continuing, the extrinsic phrase here ends mid-sentence (pun intended). The anacrusis into m. 29 initiates the secondary theme, a ten-measure sentence and its repetition (mm. 29–38 and 39–48, respectively). It concludes with a V:PAC at m. 48. The onset of the secondary theme, by virtue of its return to the prepared key, abruptly ends the extrinsic phrase. A codetta prolonging F major, mm. 48–54, closes the exposition.

Compared to the other examples discussed above, Scarlatti's keyboard sonata features less contrast between the extrinsic phrase and the other sections of the exposition.[48] This comes as the result of several choices—some stylistic convention for the time period and others common in Scarlatti's style. First, because he wrote for the keyboard (i.e. instruments with terraced dynamics) and in the time period he did (where decisions about dynamics were often left to the performers), Scarlatti's keyboard sonatas contain no dynamic markings. Second, in this movement, the composer chose to use similar melodic motives, rhythms, and texture throughout the sonata. Although he differentiates sections in other

[47] See Ralph Kirkpatrick, *Domenico Scarlatti*, (Princeton, N.J.: Princeton University Press, 1953), 256.
[48] Figure A.5 in Appendix A summarizes the separation signals used herein.

keyboard works through these devices, this movement contains no such changes between its sections.

All modally-contrasting phrases serve a similar purpose. They draw attention to the midpoint of the exposition and emphasize the secondary theme by temporarily delaying its onset. The extrinsic phrases begin following a strong medial caesura cadence and gap that closes the transition.[49] A V:HC forms the most likely choice for this cadence. In two examples, the cadence immediately preceding the extrinsic phrase concludes on the dominant (V): the transition of Boccherini's cello sonata concludes with a I:HC and the transition of Pugnani's sonata concludes with the less common V:IAC option.[50]

Despite their name, this contrast is not limited to the shift to an unprepared mode. Instead, this main contrast receives support from other domains (i.e. dynamics, phrase structure, and other signals described above). A comparison of the separation signals used by the extrinsic phrases reveals additional similarities across the group. Figure 3.9 compares the separation signals present within each movement discussed. In this and other, later examples like it, open circles represent the presence of a separation signal and filled-in circles show a signal in its strong-state.[51] Three signals—endings, tonality/modality, and dynamics—appear in all movements (or, in the case of dynamics, all movements where the signal is possible). The melody and phrase structure signals appear in almost all movements. Three more signals—rhythm, texture, and phrase structure—appear in most movements and often occur

[49] By keeping the cadence separate from the gap I hope to emphasize their independence from one another as concepts. Furthermore, this allows me to discuss the two separately when the need arises.
[50] Boccherini's cello sonata presents an extraordinary case wherein a false beginning to the secondary theme (which, during the second rotation, becomes a retransition) precedes the extrinsic phrase, ending at m. 11 with a V:IAC. The medial caesura cadence, a I:HC occurs earlier, in m. 7; the same I:HC returns in the second rotation before the extrinsic phrase which is why I identify the I:HC as the medial caesura despite the fact that, in the exposition, that cadence is not juxtaposed with the beginning of the extrinsic phrase.
[51] With the exception of Boccherini's Cello Sonata, G. 1, the summary of each movement's separation signals comes from the exposition (n.b. no movement features dramatic changes in these signals during the rotation).

together. Finally, the harmony signal occurs rarely, in only one of the five movements examined.

SIGNAL	BOCC. G. 79, II	BOCC. G. 1, I	GAVINIÈS OP. 3, NO. 1	SCARLATTI K. 473	PUGNANI OP. 1, NO. 3
Endings	●	○/●	●	○	○
Tonality/Modality	●	●	●	●	●
Harmony			●		
Melody	●	○	●		○
Rhythm	●	○			
Phrase Structure		●	●	●	●
Dynamics	○	●/○	●	N/A	N/A
Texture	●	●			●
Orchestration	●				●
TOTAL SIGNALS USED	**7/9**	**7/9**	**6/9**	**3/9**	**7/9**

○ = SEPARATION; ● = STRONG SEPARATION

Figure 3.9 Separation Elements in Modally Contrasting extrinsic phrase Movements

The extrinsic phrases themselves employ a variety of phrase structures. Some are more tightly-knit sentences found in Boccherini's works; others use looser phrase structures like the example by Gaviniès; and some use incomplete phrase structures, like the repeated ideas found in the extrinsic phrases by Pugnani and Scarlatti. In the three movements with more loosely structured extrinsic phrases, a tightly-knit phrase structure in the secondary theme helps to separate the extrinsic phrase from that section. Boccherini's cello sonata presents a different situation wherein the extrinsic phrase uses a tightly-knit structure whereas the remaining sections of the exposition use looser structures.

Extrinsic phrases also employ a variety of conclusions. The extrinsic phrases that use more tightly-knit phrase structures end with cadences (e.g. the examples by Boccherini and Gaviniès). More loosely-structured extrinsic phrases conclude with dominant arrivals (e.g.

the example by Pugnani) or fail to reach an ending, relying on the entrance of the secondary theme to indicate their conclusion (e.g. Scarlatti's K. 473). Regardless of the differences in the strength of their endings, all of the extrinsic phrases end with the dominant of the dominant minor (V/v) which allows the exposition to continue in the major dominant at the onset of the secondary theme.

Further examples of this type of extrinsic phrase may be found in other works by the composers discussed here, including the first movement of Boccherini's String Trio in F Major, G. 77 (from the same set as G. 79) and the finale of his String Quintet in E-flat Major, G. 266. Scarlatti also used a modally contrasting extrinsic phrase in his Keyboard Sonatas in E Major, K. 403 and in D Major, K. 478. Other composers used this type of extrinsic phrase as well, including Carl Ditters von Dittersdorf in the first movement of his Partita No. 19 in A minor and Joseph Haydn in the finale of his String Quartet in E-flat Major, op. 1, no. 2 (Hob. III:2).[52] The prevalence of this type of extrinsic phrase suggests that the inclusion of the minor mode at this point in the form was a common (or, at least, not uncommon) strategy for composers.

As the introduction pointed out, current discussions of sonata form contain several terms that might apply to various extrinsic phrase examples, but these terms generally cast the extrinsic phrase as a non-normative portion of the secondary theme, which minimizes their purpose and effect within the movement. Furthermore, my term "modally-contrasting extrinsic phrase" encompasses a wider variety of possibilities than other discussions of form, which force an analyst to categorize the examples above based on their use of cadence. Hepokoski and Darcy's terminology provides a useful example here. Even if one understands the trimodular block and minor-mode S-module as separate concepts where the

[52] Chapter 4 includes two non-modally contrasting phrases by Haydn, suggesting that, like Boccherini, these formed a part of his style at various points.

former block includes two medial-caesura effects and the latter does not, the analyst still faces difficulties. One might consider the two extrinsic phrases by Boccherini and the one by Gaviniès as trimodular blocks, given their v:HC conclusions.[53] Note that these form weaker examples of the trimodular block: none includes a clear reinvigoration of the transition's characteristics and both Boccherini's G. 1 and Gaviniès violin sonata articulate their second medial caesura cadences at a *piano* dynamic. The extrinsic phrases in the movements by Pugnani and Scarlatti, meanwhile, act as minor-mode S-module that end without cadences.

Dividing the extrinsic phrases analyzed above in this way demonstrates two problems discussed in the introductory chapter.[54] First, the trimodular block designation only fits the two movements by Boccherini and Gaviniès violin sonata when one includes caveats pertaining to the lack of a clear TM^2 and the weak medial caesura effects. A second problem lies in dividing these movements based on their internal phrase structures in the first place. By emphasizing internal phrase structure, this analysis of the movements potentially misses the similarities in style (i.e. the use of the minor mode at this point in the exposition, regardless of how its use takes shape) and the function common to all of these extrinsic phrases (the accentuation of the exposition's midpoint). Employing the term "modally-contrasting extrinsic phrase" to describe these passages provides information on their location and function.

[53] None of these movements contain a clear shift from TM^1 to TM^2, but Hepokoski and Darcy suggest that some TM^2 modules are only understood retrospectively after the arrival of the second medial-caesura effect. See Hepokoski and Darcy, *Elements*, 172.
[54] See the section entitled "Exploration of the Problem" in Chapter 1.

Modulating Extrinsic Phrases

The remaining movements in this chapter each feature key changes that fundamentally alter the tonal plan of the exposition. Figure 3.10 provides an abstracted diagram of this process. Following the primary theme, the transition leads to a half cadence in a prepared secondary key option. The key prepared by the transition is often a normative secondary key choice for the movement (i.e. V in major-mode movements; III or v in minor-mode movements). The half cadence creates a strong expectation that a secondary theme in this prepared key follows the medial caesura. Instead, however, an extrinsic phrase occurs. This extrinsic phrase modulates from the prepared secondary key to another secondary key, which I'll call the "final secondary key." The exposition ends in this final secondary key. This creates what some call a "three-key exposition."[55]

Some readers may have noted the similarity between the events described Figure 3.10 and concepts from other authors, especially Hepokoski and Darcy's "modulating caesura-fill" and Caplin's "modulating subordinate theme."[56] Chapter 2 pointed out a problem with applying the term "caesura-fill" (of any variety) to many instances of extrinsic phrases. Namely, many of the movements that include extrinsic phrases—including those analyzed in this section—contain a medial caesura gap. As caesura-fill "fills in" the medial caesura gap, the presence of that gap signals that caesura-fill does not occur. Additionally, Hepokoski and Darcy's examples of modulating caesura-fill all modulate from the tonic key to the secondary key. Mendelssohn's Overture, op. 26, "The Hebrides", for example, included a transition

[55] Several authors recognize later uses of the three-key exposition in the work of Franz Schubert. See Charles Rosen, *Sonata Forms* (New York: W.W. Norton, 1980), 246–49; James Webster, "Schubert's Sonata Form and Brahms' First Maturity," *Nineteenth-Century Music* 2 (1978): 18–35 and 3 (1979): 52–71; and Graham Hunt, "The Three-Key Trimodular Block and Its Classical Precedents: Sonata Expositions of Schubert and Brahms," *Intégral* 23 (2009): 65–119. Caplin against the term as the exposition fails to establish all three keys with PACs. See Caplin, *Classical Form*, 119–21.

[56] Chapter 2 introduced and defined both of these concepts. Here I'll comment on their relationship to modulating extrinsic phrases.

that ended with a half cadence in the minor tonic (i:HC) followed by a caesura-fill that modulated to the mediant, the secondary key. The modulating extrinsic phrases discussed here modulate from an initial secondary key option (prepared by the transition) to a second, unprepared option.

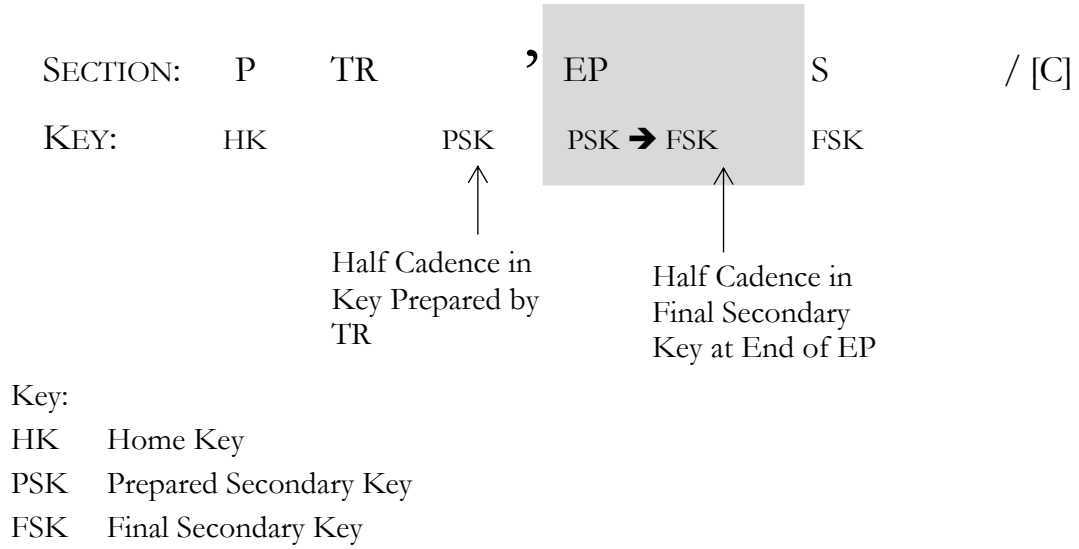


Figure 3.10 Abstracted Timeline for Modulating Extrinsic Phrases

Using Caplin's term, "modulating subordinate theme," encounters similar problems. Modulating subordinate themes are a variety of two-part subordinate theme which features a half cadence that concludes the theme's first part. In some mid-eighteenth-century movements, this cadence does not occur. Furthermore, Caplin's term implies that the first portion of the theme (i.e. the passage analogous to my modulating extrinsic phrase) initiates the subordinate theme. The examples below show that this is not the case. Although some modulating extrinsic phrases briefly appear to begin such a theme, they quickly become less harmonically stable and modulate.

Figure 3.10 avoids suggesting a definite tonal pattern for movements containing modulating extrinsic phrases because no set pattern of keys exists. Scarlatti in particular used these to integrate unexpected key choices into a movement. Some movements, like Scarlatti's Keyboard Sonata in F Major, K. 366, migrate from a normative secondary key choice to a non-normative option for the final secondary key (K. 366 modulates from the dominant, V, to the mediant, iii).[57] Other movements, like his Keyboard Sonata in G Minor, K. 402, affect more distant modulations. In that movement, the primary theme creates confusion about the tonic key. The theme begins in G minor, but, leads to an emphasized arpeggio on B-flat major. The transition then adds to the uncertainty surrounding the key by concluding with a VII:HC (i.e. F Major, the dominant of B-flat major). The extrinsic phrase then modulates to the minor dominant (v, D minor), returning the exposition to a more normative tonal trajectory.

In this section I've chosen to focus on movements containing the same pattern of key areas across their respective expositions. This allows the discussion to focus on the use of modulating extrinsic phrases and makes the comparison of the examples easier. This section examines expositions from minor-mode movements containing a i-III-v pattern of exposition keys. This pattern occurs in several minor-mode movements from the mid-eighteenth century. Figure 3.11 provides a general model for the expositions of these movements. Longyear acknowledges this pattern as one that occurs in "more highly developed expositions with dominant minor as the goal…often the basic tonal plan consists of i-III-v, with the first theme in tonic minor, a transition which goes to the mediant, and a

[57] Similarly, Scarlatti's Keyboard Sonata in C Minor, K. 302, prepares for a secondary theme in the mediant (III), but uses a modulating extrinsic phrase to reach the exposition in the major dominant (V), the final secondary key. In this instance, the extrinsic phrase returns during the second rotation, causing the entire movement to end in C major, not C minor.

close in the dominant minor."[58] Following the primary theme, the transition prepares for a secondary theme in the mediant. The articulation of a strong medial caesura and gap at the end of the transition lead one to expect a subsequent secondary theme in that key. Instead, a modulating extrinsic phrase enters and leads to a new secondary key. The extrinsic phrase concludes with the dominant of this final secondary key (here V/v).[59] The secondary theme follows, eventually arriving at an EEC in the final secondary key.

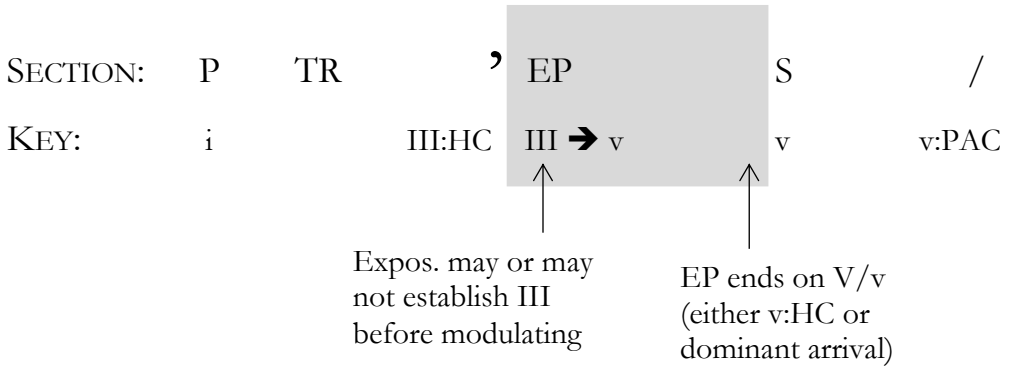


Figure 3.11 Modulating Extrinsic Phrases with i–III–v Key Pattern

This section focuses on two examples of modulating extrinsic phrases: Sebastián de Albero's Sonata No. 18 in B Minor and Scarlatti's Keyboard Sonata in F Minor, K. 184. Both composers lived and worked in Madrid. Sebastián de Albero (1722–1756), a native of Spain, arrived in Madrid after Scarlatti. Both worked in the service of the Spanish monarchy, Albero in the service of King Fernando VI as the organist at the Royal Chapel of Madrid and Scarlatti as master of music to the Queen, María Bárbara de Braganza. For this reason it is likely the two composers knew one another. Albero's work may reflect the influence of

[58] See Rey M. Longyear, "The Minor Mode in Eighteenth-Century Sonata Form," *Journal of Music Theory,* 15, no. 1-2 (Spring-Winter 1971), 197.
[59] In order to make a distinction between the first secondary key option presented in an exposition and the second, post-extrinsic phrase secondary key (here, the dominant), I use the terms "prepared secondary key" and "final secondary key," respectively.

Scarlatti. In fact, Albero's *Trienta Sonatas para Clavicordia*, a collection of thirty movements including the work discussed here, may have taken its inspiration from Scarlatti's similar set of works, the *30 Essercizi*.

The two works discussed here share the same pattern of key in their expositions, but differ somewhat in their realizations of that pattern. Albero's sonata uses two extrinsic phrases to accomplish the shift from its prepared secondary key to the final secondary key. The first of these phrases performs the modulation. A standing on the dominant (i.e. the dominant of the final secondary key), the second extrinsic phrase, precedes the onset of the secondary theme. The use of the extrinsic phrase in Scarlatti's keyboard sonata closely mimics the extrinsic phrase from the exposition of Boccherini's Cello Sonata, G. 1 (a modally-contrasting extrinsic phrase discussed in the previous section). Like that movement, the events of the second rotation in Scarlatti's keyboard sonata affect the interpretation of the exposition.

Albero, Sonata No. 18 in B Minor

Figure 3.12 provides the score to the exposition of Albero's Keyboard Sonata No. 18 in B Minor. The fifty-eight bar exposition begins with an imitative primary theme, mm. 1–9, that ends with an arrival on tonic at m. 9. The transition, mm. 10–24, quickly shifts to the mediant (D major). Albero uses a registral climb in both hands during mm. 15–23 that heightens the intensity of the approach to the medial caesura. At m. 24, a strong half cadence in D major and a medial caesura prepares for a new theme in the mediant. The secondary theme never materializes in that key.

Instead, the exposition launches into an eighteen-measure section that includes two extrinsic phrases: the first begins in D minor and modulates to the minor dominant, F-sharp minor; the second prolongs the dominant of that key before the onset of the secondary

theme.[60] The first of the two extrinsic phrases, mm. 25–31, uses a six-bar ascending sequence that leads to the dominant of F-sharp minor. As with other extrinsic phrases, the initial notes of the extrinsic phrase at first sound like a normative secondary theme onset. This extrinsic phrase ends on the dominant of F-sharp minor at the beginning of m. 31.

The final secondary key, F-sharp minor, arrives suddenly when compared to the lengthy shift to the mediant that occurred in the transition. The motion to the minor dominant occupies a mere six measures and seems rapid, making that key sound (possibly) temporary. Instead of immediately launching into a secondary theme in the final secondary key, a second extrinsic phrase, mm. 31–42, prolongs the dominant, C-sharp major. This dominant prolongation provides the final secondary key with the temporal emphasis needed to establish itself as the eventual goal tonality of the exposition. The second extrinsic phrase ends at m. 42 on the dominant (V/v). The effect of this conclusion mimics that of the analogous point in Scarlatti's Keyboard Sonata K. 473, discussed earlier in this chapter. The extrinsic phrase in K. 473 consisted of a repeated idea; its conclusion was signaled by the onset of the secondary theme, not by anything within the extrinsic phrase. A similar situation occurs here: the extrinsic phrase ending is only recognized when one realizes the secondary theme has begun.

[60] Figure A.6 in Appendix A summarizes how these phrases separate themselves from the remaining portions of the exposition. Note that this table examines the separation of the two extrinsic phrases when combined. It takes m. 25, the beginning of the first extrinsic phrase, and m. 41, the end of the second extrinsic phrase, as its boundary-points. This means that internal differentiation between the two extrinsic phrases—e.g. the cadence at m. 31 or the change in texture shortly thereafter—is not taken into account as those elements do not separate the extrinsic phrases either from the transition or the secondary theme.

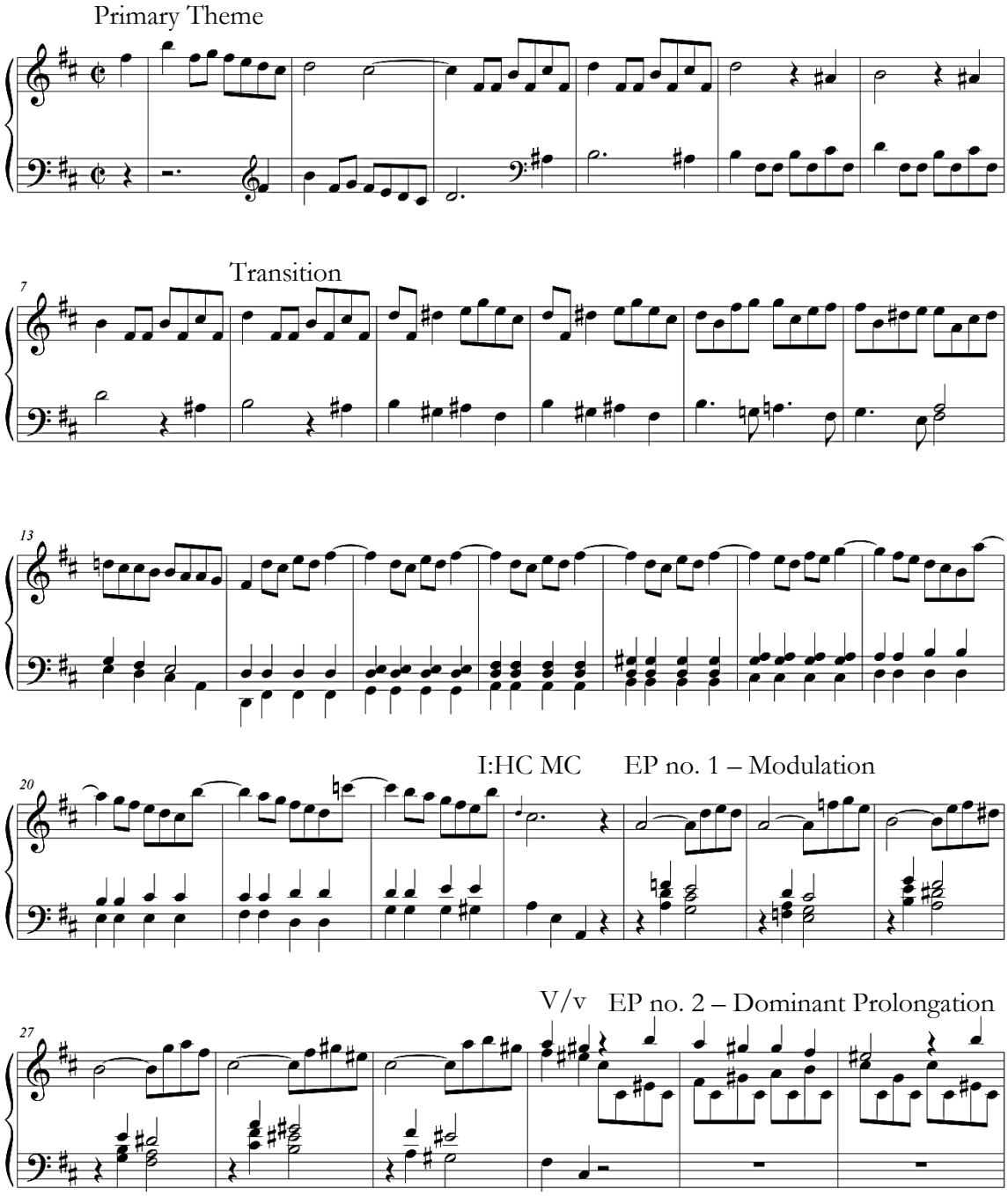


Figure 3.12 Albero, Sonata no. 18 in B Minor

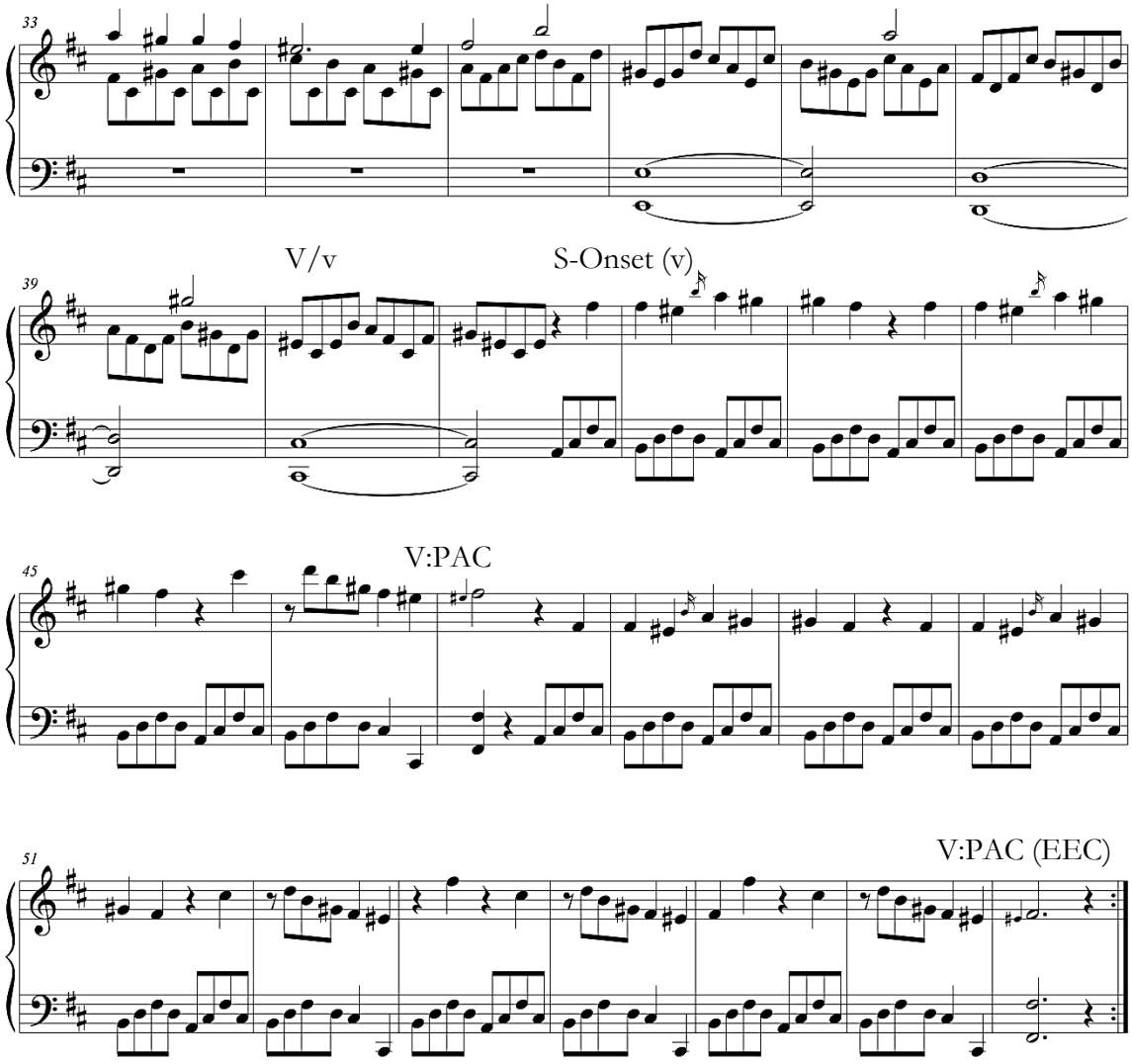


Figure 3.12 , continued

The secondary theme, mm. 42–53, comprises a six-bar phrase and its repetition. This repeated phrase differs from the other looser knit sections of the exposition, including the primary theme, transition, and the extrinsic phrases that precede it. The beginning of the secondary theme inverts the voices from the second extrinsic phrase, placing the eighth-note line in the bass. Both the phrase and its repetition end with a v:PAC, completing the

exposition's tonal motion. The remaining portion of the movement, mm. 53–58, presents a brief codetta that further emphasizes the secondary key and reiterates the PAC.

Figure 3.13 diagrams the exposition. Although unconfirmed by a PAC, the tonal plan of the exposition includes a central modulation to the mediant (III). The transition's preparation for this key and its articulation of a III:HC before the medial caesura creates a strong expectation that the exposition will continue in that key. Although the extrinsic phrases frustrate this expectation, the transition sufficiently establishes the key before this point. Following the extrinsic phrases, the secondary theme in the minor dominant completes the long-range arpeggiation of the tonic triad through the keys used by the exposition.

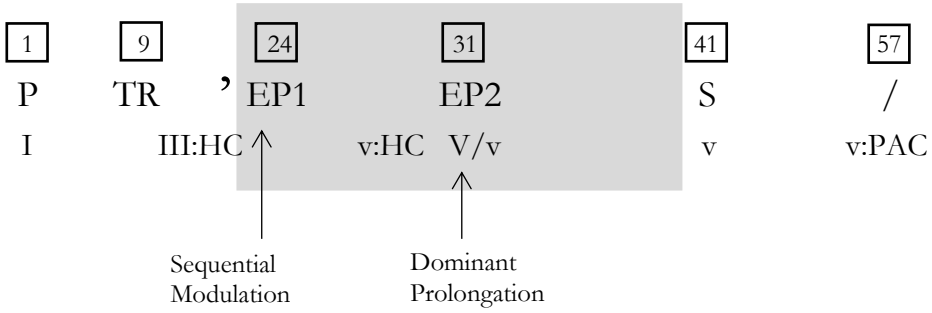


Figure 3.13 Albero, Keyboard Sonata no. 18, Exposition Diagram

Unlike previous movements, this exposition uses two extrinsic phrases. The first completes an initial modulation from the mediant to the dominant, setting the stage for the second phrase that establishes the dominant as the final secondary key before the onset of the secondary theme. In many ways, the first extrinsic phrase, mm. 25–31, seems corrective—as if the composer or performer originally meant to begin the second half of the exposition in the minor dominant but modulated to the "wrong key" and then cobbled together a connective phrase to return the movement to its planned trajectory. The

remainder of the extrinsic phrase further emphasizes this final key before continuing to the secondary theme.

One might also think of this not as two extrinsic phrases but as a larger, single, two-part extrinsic phrase. Such an interpretation changes little from the description above. Furthermore, if we consider the exposition here from Koch's viewpoint the "single extrinsic phrase" analysis avoids a problem that arises in the "two phrase" analysis. In his discussion of the connection of melodic sections (*Absatze*), Koch cautions that "Neither two I-phrases nor two V-phrases in one and the same key may be composed immediately after one another with melodic sections which differ from each other."[61]

Although Koch himself might understand this passage differently, I prefer the two-phrase interpretation. Several elements clearly delineate the end of the first extrinsic phrase from the beginning of the second in m. 31. The harmonic motion in the first half of the measure calls attention to itself by differing from the previous measures; the leap from F-sharp to C-sharp in the bass further marks the arrival of the dominant. A subsequent upward shift in both hands, but particularly the two-octave shift from C3 to C5 in the left hand, creates a registral gap between the two phrases. Finally, the different melodic material, the increase in surface rhythm, and the change in texture that coincide with the onset of the second extrinsic phrase support the differentiation of the two.

[61] See Heinrich Christoph Koch, *Introductory Essay on Composition: The Mechanical Rules of Melody, Sections 3 and 4*, trans. Nancy Kovaleff Baker (New Haven: Yale University Press, 1983), 110. On the surface, most of the extrinsic phrases linked to Figure 3.1 above also violate this rule. In those movements, both the transition and the extrinsic phrase end with a half cadence in the dominant. However, the difference in modes between the cadences (V:HC vs. v:HC), suffices as a strong enough difference in key that Koch's rules allow for it.

Scarlatti, Keyboard Sonata in F Minor, K. 184

The exposition of Scarlatti's Keyboard Sonata in F Minor, K. 184 presents the same tonal pattern as Albero's sonata, but articulates what appears to be part of a secondary theme in the mediant before continuing to a modulating extrinsic phrase. Figure 3.14 provides a score to the movement. The primary theme, mm. 1–8, begins ambiguously by using an initial harmony more indicative of A-flat major than F minor. The arrival of the C dominant-seventh chord in the second measure signals the F minor tonic of the piece. The primary theme articulates its first and only tonic triad during the i:PAC that concludes the theme at m. 8. The transition, mm. 9–28, prolongs the F-minor tonic (mm. 9–12), leads to the mediant (mm. 13–19), and emphasizes and concludes with a half cadence in the mediant at m. 28. Note that this cadence lacks emphasis compared to other medial caesura cadences by Scarlatti. Although the right hand decorates the dominant's arrival, no gap or fermata for emphasis is notated.[62]

The passage that follows, mm. 29–34, comprises an early and eventually abandoned secondary theme onset in the mediant (III). The passage consists of an initial two-bar idea, mm. 29–30, and two repetitions. By the third iteration of the idea one might begin to wonder when this theme will move to new material. Instead of continuing, this third iteration halts suddenly at m. 34 on a tonic chord in the mediant (A-flat). Unlike the previous break in the texture of the movement, a fermata accompanies the arrival of the A-flat triad and a gap in all voices follows. This creates a strong, if confusing, ending.

[62] Of course, a performer familiar with Scarlatti's work and the form of the piece could add a pause here by briefly lifting their hands off of the keyboard.

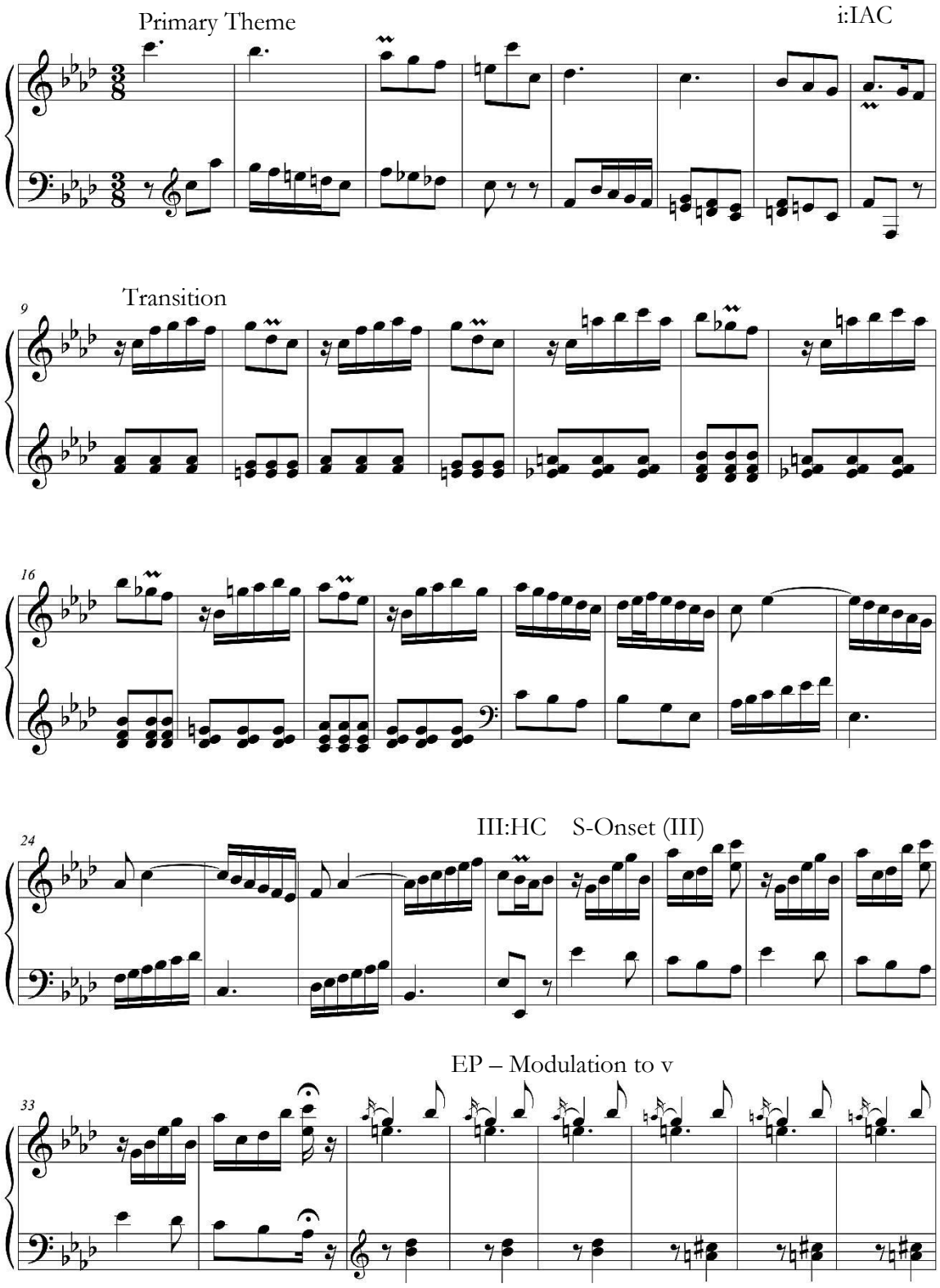


Figure 3.14 Scarlatti, Keyboard Sonata K. 184, Score

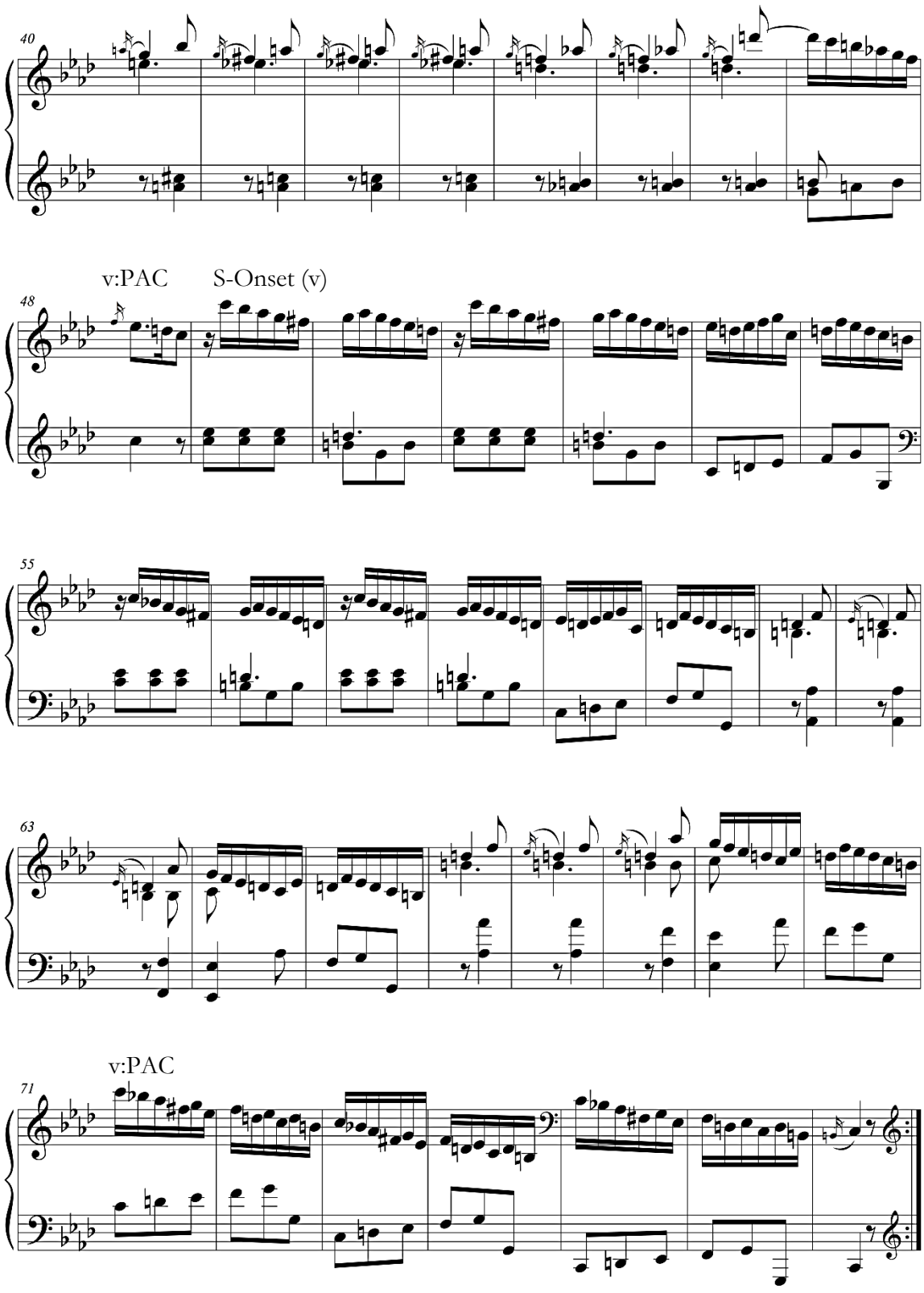


Figure 3.14, continued

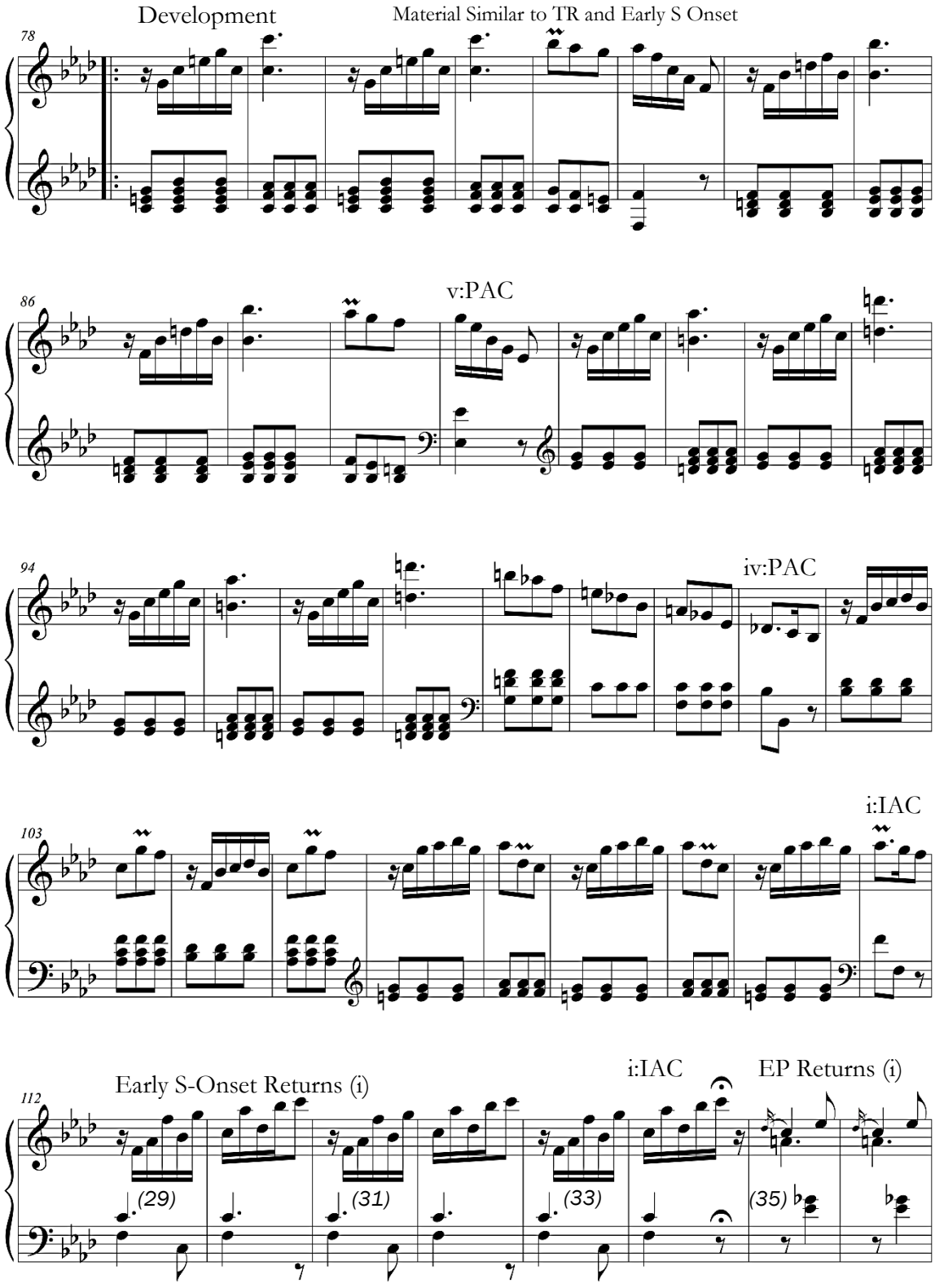


Figure 3.14, continued

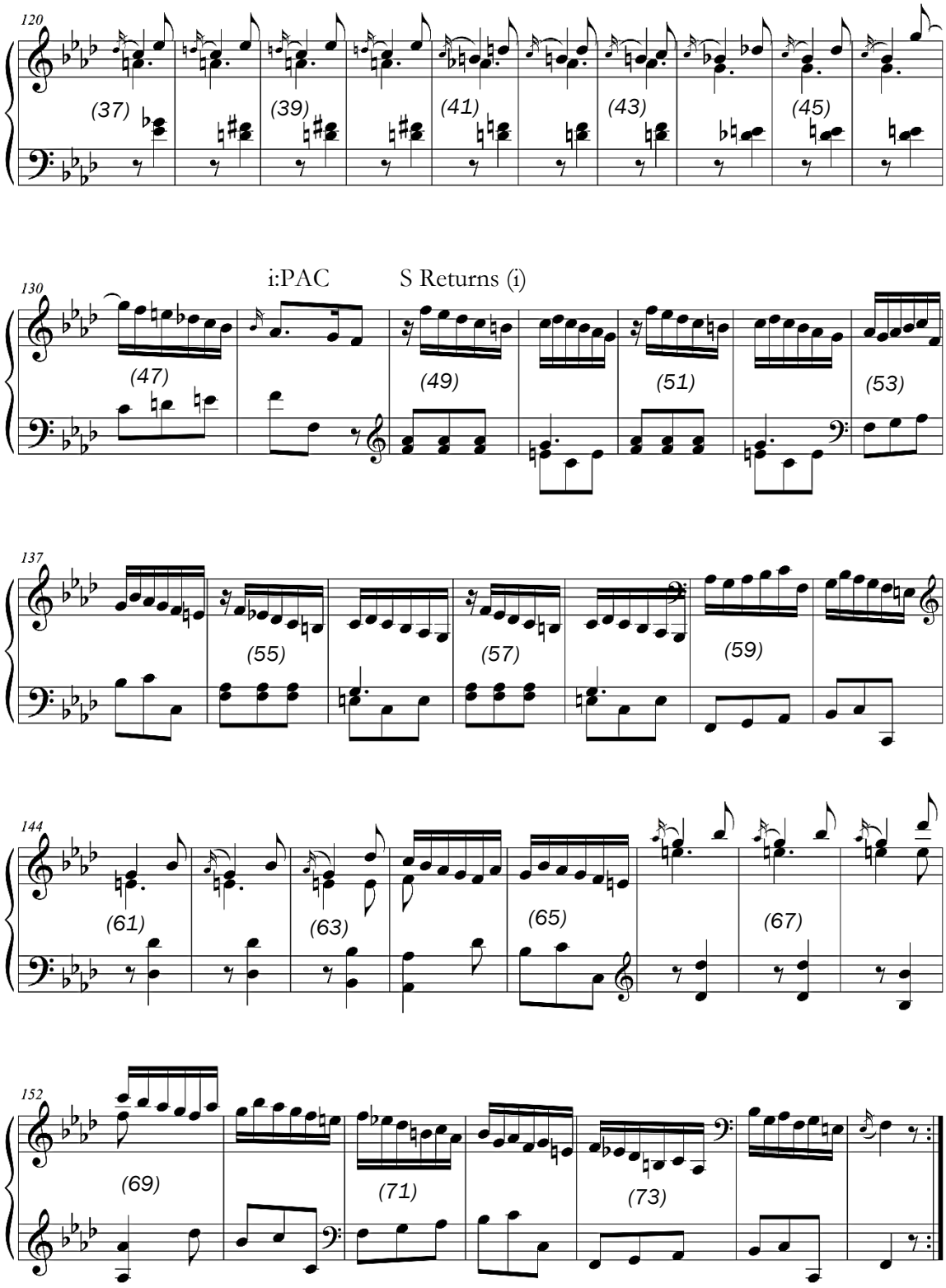


Figure 3.14, continued

An extrinsic phrase, mm. 35–48, follows the pause at m. 34 and modulates to the dominant, C minor.[63] This phrase begins with a noticeably different texture and rhythmic profile from any of the preceding sections. The initial harmony of the phrase seems to indicate a possible return to the home key of the movement, F minor. However, Scarlatti treats this chord neither as a part of F minor nor as part of A-flat major, the presumed secondary key. Descending motion first in the left hand and then in both hands leads through various other non-normative harmonies. At mm. 44, this descending motion arrives on an inverted B diminished-seventh chord, acting as the leading tone of C minor. The articulation of a dominant (G major) in m. 47 clarifies the intended motion to C minor. A v:PAC at m. 48 completes this motion. The extrinsic phrase's conclusion differs from the analogous point in Albero's sonata, discussed above. Note that, in Scarlatti's K. 184, the arrival of the PAC at m. 48 acts only as the end of the extrinsic phrase, not as the EEC of the exposition. The preceding modulation to the mediant, the abandoned secondary theme, and the modulating extrinsic phrase necessitate the articulation of a passage in C minor, i.e. the secondary theme, before the articulation of the EEC and the end of the exposition.

The secondary theme occurs in mm. 49–71. Although seemingly structured as a repeated phrase at first, the repetition of the initial six-bar idea avoids articulating a v:PAC. Instead, a return of the material from the extrinsic phrase interrupts the progression of the secondary theme. This repetition concludes with a v:PAC at m. 71 after which a brief codetta concludes the exposition in mm. 71–77.

Figure 3.15 diagrams the exposition. Although the exposition shares its i-III-v tonal pattern with Albero's sonata, the rotation's structure mimics the exposition of the first movement of Boccherini's Cello Sonata G. 1, discussed earlier in this chapter. In both, an

[63] Figure A.7 in Appendix A shows a summary of the separation signals in this movement.

apparent secondary theme onset follows the medial caesura only to yield to an extrinsic phrase. In the cello sonata, the secondary theme onset that precedes the extrinsic phrase becomes a retransition in the second rotation, suggesting it functions in a similar manner during the exposition. This is not the case in Scarlatti's K. 184.

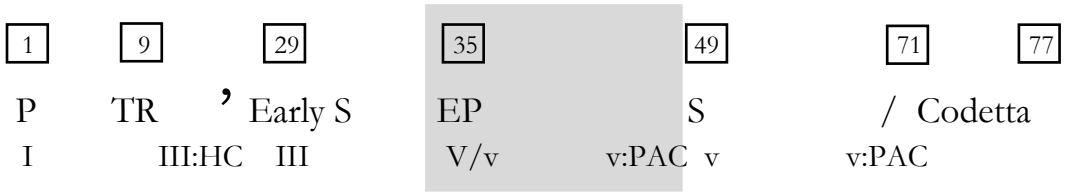


Figure 3.15 Scarlatti, K. 184, Exposition Diagram

The second rotation here features the tonic-key returns of the initial secondary theme onset (which originally occurred in the mediant), the extrinsic phrase, and the later secondary theme. Returning to the score provided in Figure 3.14 we see that the second rotation begins at m. 78 with new material that temporarily tonicizes the home key, F minor. A repetition of the same material in mm. 84–90 tonicizes E-flat major. The development leads to a PAC in B-flat minor (iv) at m. 101. Measures 102–111 repeat m. 9 ff. of the transition and conclude with a i:PAC at m. 111.

The arrival of the tonic at the point analogous to m. 28 of the exposition allows the early, abandoned secondary theme from the exposition to return in the tonic in mm. 112–117. This eliminates the function of the extrinsic phrase, which served to carry the piece to the "correct" secondary key following this attempt. Regardless, the extrinsic phrase returns in mm. 118–131, transposed to conclude with a i:PAC. The (later) secondary theme and codetta follow, unchanged from the exposition save for transposition.

The early tonic return in the second rotation effectively eliminates the extrinsic phrase's original modulatory function. However, the extrinsic phrase remains in use here because it separates the early, previously abandoned secondary theme at the beginning of the tonal resolution from the successful secondary theme that later follows. Although they occur in tonic, mm. 112–117 still recall the odd tonal trajectory and failed attempt at a secondary theme that occurred during the exposition.

Although the extrinsic phrase in the exposition of Scarlatti's K. 184 performs the same task as the extrinsic phrases from Albero's Sonata in B Minor, the two accomplish that task in different manners. Albero's sonata uses two extrinsic phrases that occur immediately after the transition while Scarlatti's K. 184 uses a single extrinsic phrase that follows an initial, abandoned secondary theme. In Albero's sonata, the swift, sequential modulation in the first extrinsic phrase, coupled with that phrase's abrupt ending necessitates the second extrinsic phrase and its emphasis on the dominant of the new key. Scarlatti's K. 184, on the other hand, uses the first portion of its extrinsic phrase to break away from the preceding unsuccessful secondary theme onset in A-flat major. The second portion of the theme modulates to the new secondary key, emphasizing the dominant function before the v:PAC that ends the phrase. This longer, dominant-laden modulation allows the secondary theme to begin immediately.

A second difference between these movements involves their treatment of the mediant. The exposition of Albero's sonata uses the transition to emphasize the mediant, reserving everything after the medial caesura for the extrinsic phrases and the secondary theme. In avoiding any definitive articulation of a secondary theme in the mediant before launching into a modulation to the dominant, Albero obscures part of the exposition's

progress from the mediant to the minor dominant. Scarlatti's K. 184 devotes six measures to an early, unsuccessful secondary theme in the mediant. The exposition therefore outlines an aural process from the arrival of the prepared secondary key (III) through the decision to use another secondary key (the onset of the extrinsic phrase) to the arrival of the "real" secondary theme and key after the extrinsic phrase.

Despite their differences, these extrinsic phrases use the same general process to separate themselves from the surrounding portions of the exposition. Like the modally-contrasting extrinsic phrases discussed earlier in this chapter, these modulating extrinsic phrases initially signal their problematic status in the exposition by articulating an unexpected harmony from an unprepared key. In Albero's sonata, this unexpected harmony acts as the beginning of a brief, sequential modulation; in Scarlatti's sonata, the unexpected harmony (a diminished-seventh chord) at first appears to tonicize the home key but leads to the extrinsic phrase's modulation.

Although both movements use non-normative harmonies at the beginning of their respective extrinsic phrases, neither of these movements uses the harmony separation signal as the harmonies here become part of a larger modulation to a new, previously unprepared tonal center. The harmonic abnormality occurs in part because of an unstable tonal center and, as such abnormalities often occur during modulations, counting both the modulation and the non-normative harmonies would involve double-counting the separation signals. Compare this situation to the harmony signal that occurred in the first movement of Gaviniès's Violin Sonata op. 3, no. 1 above. There, non-normative harmonies called attention to a non-modulating extrinsic phrase in a prepared tonal center, but unprepared mode. The harmonic discrepancies therefore come from a stable tonal center, not an unstable one.

Modulating extrinsic phrases occur with a variety of internal structures which makes them difficult to classify with current terminology. The introduction to this section discussed the possibility of Caplin's modulating subordinate theme or Hepokoski and Darcy's (modulating) trimodular block as potential descriptors for these extrinsic phrases. However, attempting to describe the two movements analyzed above as modulating subordinate themes or as trimodular blocks faces difficulties. Neither the exposition of Albero's sonata nor the exposition of Scarlatti's sonata conforms to Caplin's definition of a modulating subordinate theme: Albero's exposition lacks a central cadence (i.e. a second MC-effect) while Scarlatti's exposition uses a v:PAC as its central cadence instead of a half cadence.

The situation in Albero's sonata exposition fundamentally differs from the definition of the trimodular block, which occurs in expositions containing two medial caesura effects. Albero's sonata includes the first of these medial caesura effects, but not the second. Scarlatti's K. 184 includes caesura effects at the appropriate places for a trimodular block but at best, acts as an unusual example thereof. Finding a current term to encompass the events of both Albero's Sonata No. 18 and Scarlatti's K. 184 presents great difficulties. At best, a given term describes on situation or the other. The emphasis on cadential articulation (or caesura effects) in the definitions of these terms, though perhaps appropriate for the style of the late-eighteenth century, is inappropriate for early- and mid-eighteenth-century works where the use and emphasis of cadences varied more greatly.

Summary of Chapter 3

The two differently-functioning types of extrinsic phrase discussed here both alter an exposition's normative tonal trajectory. Modally-contrasting extrinsic phrases alter this trajectory on a temporary basis while modulating extrinsic phrases create changes of key that

last throughout the remainder of the exposition.[64] They use a similar general process to separate themselves from their surroundings in an exposition. Figure 3.16 lists the separation signals used by each of the extrinsic phrases discussed in this chapter. Most extrinsic phrases here appear inclined to use many separation signals to help establish their autonomy from the other portions of the exposition.

Clear medial caesura cadences and gaps precede extrinsic phrases of these types. In all cases, this plays the primary role in separating an extrinsic phrase from the transition that precedes it. The extrinsic phrase in these movements often begins with a melody or harmony that seems indicative of a secondary theme onset but soon becomes non-normative for that function.[65] This plays an important role in separating the extrinsic phrase from the secondary theme: the momentarily normative continuation of the exposition to an apparent (but false) secondary theme followed by non-normative elements converting this continuation to an extrinsic phrase provides an aural illustration of what "should" happen (i.e. a normative secondary theme) and what actually happens (i.e. the extrinsic phrase).

Several possible ways of concluding the extrinsic phrase occur in the examples discussed in previous sections. Conclusion with a cadence or dominant arrival acts as the most frequently-used option. Three movements—Pugnani's op. 1, no. 3, Scarlatti's K. 473, and Albero's Sonata no. 18—ended without a clear cadence or arrival. In these expositions, the secondary theme that followed the extrinsic phrase used a tightly-knit phrase structure to make the separation between itself and the extrinsic phrase clear.

[64] Examples of this latter type also hold the potential to alter the tonal trajectory of the movement as a whole, as the brief discussion of Scarlatti's Keyboard Sonata in C minor, K. 302 shows.
[65] Boccherini's Cello Sonata G. 1 and Scarlatti's Keyboard Sonata K. 184 form notable exceptions to this.

Signal	Bocc. G. 79, II	Gaviniès op. 3, no. 1	Bocc. G. 1	Scarlatti K. 473	Pugnani op. 1, no. 3	Albero Sonata 18	Scarlatti K. 184
Endings	●	●	○	○	○	○	○
Tonality/Modality	●	●	●	●	●	●	●
Harmony		●					
Melody	●	●	○		○	○	○
Rhythm	●		○		●	○	●
Phrase Structure		●	●	●	●	●	●
Dynamics	○	●	●	N/A	N/A	N/A	N/A
Texture	●				●		●
Organization	●		●		●		
Total Signals Used:	7/9	6/9	7/9	3/9	7/9	5/9	6/9

Figure 3.16 Separation Elements in Chapter 3 EP Movements

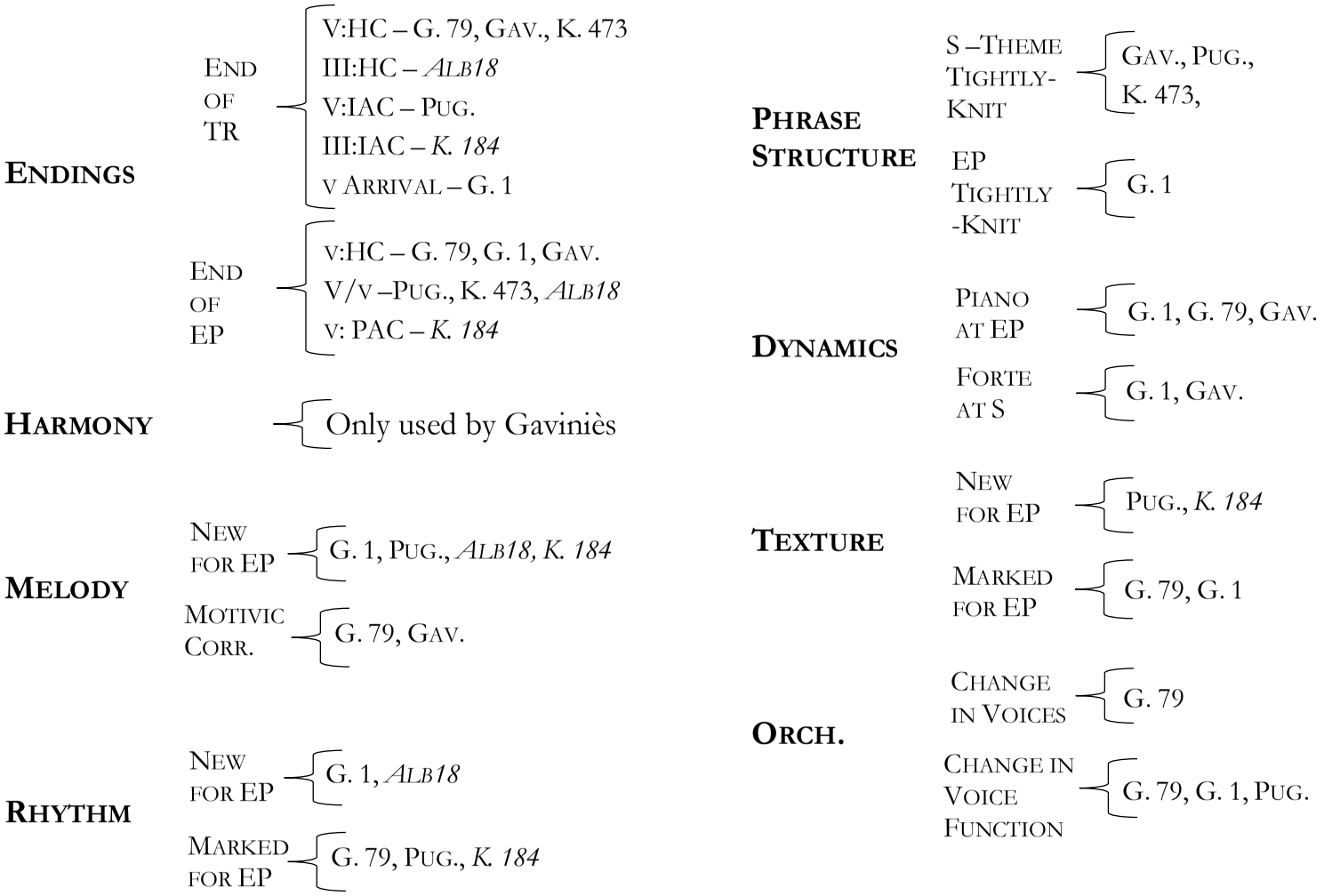


Figure 3.17 Summary of Chapter 3 EP Separation Elements

Using the separation signals as a means of organization, Figure 3.17 summarizes the various characteristics of the extrinsic phrases discussed above.[66] Several of these—e.g. the endings of the transitions and the extrinsic phrases and the near-immediate use of the tonality/modality signal—were discussed above. The following paragraphs discuss separation signals that did not factor into the generalized outline for the separation of these types of extrinsic phrases proposed above, but that form an important part of many of the extrinsic phrases examined.

Note the avoidance of the harmony signal within these extrinsic phrases. In modally-contrasting extrinsic phrases, the temporary change in mode creates the most contrast when understood as a substitution for a normative secondary theme. The use of non-normative harmonies, as occurred in Gaviniès's violin sonata, lessens the effect the extrinsic phrase tries to achieve. Technically, modulating extrinsic phrases always feature non-normative harmonies in the prepared secondary key as a fact of their modulation. However, I avoid considering this an expression of the harmony signal both because the tonality/modality signal already registers this non-normative activity and, because the extrinsic phrase clearly modulates, these harmonies are, in that context, normative.

Most of the expositions use a change in melody, rhythm, or both domains at the beginning of the extrinsic phrase and the onset of the secondary theme to set the extrinsic phrase apart. In some movements, namely Boccherini's string trio and Gaviniès's violin sonata, correlated melodic motives occur in other parts of the exposition. This melodic correlation augments the separation of the extrinsic phrase by creating a semi-unified melodic front for the exposition to which the extrinsic phrase does not belong. A similar

[66] Figure 3.17 abbreviates each movement by reference number, composer, or title. Italicized movements contain modulating extrinsic phrases; movements listed in a non-stylized font contain modally-contrasting extrinsic phrases.

effect occurs in movements whose extrinsic phrases use a distinct rhythmic profile that differs from the remainder of the exposition, like Boccherini's G. 79, Pugnani's op. 1, no. 3, and Scarlatti's K. 184.

The remaining separation signals receive somewhat limited use. Dynamic contrast of some sort occurs in the three movements where reliable dynamic markings occur.[67] Differences in texture and orchestration occur in several movements. Note that Boccherini uses a marked texture, namely a canon, in both of the extrinsic phrases discussed in this chapter. These changes in texture coincide with changes in orchestration. Orchestration changes occur in three of the four works that include a soloist or soloists and accompaniment but no such changes occur in the movements written for solo keyboard (although such changes are possible).

In terms of the phrase structure signal, which examines the phrase structure of the secondary theme, most expositions contain a more tightly-knit secondary theme—usually a sentence or repeated phrase—that clearly excludes the extrinsic phrase. Using a tightly-knit structure for the secondary theme is particularly important in movements where the extrinsic phrase ends without a cadence or arrival (i.e. Pugnani's op. 1, no. 3, Scarlatti' K. 473, and Albero's Sonata no. 18). Boccherini's Cello Sonata, G. 1 contains the only instance where an extrinsic phrase separates itself from the other parts of the exposition by being the only tightly-knit structure among looser structures.

In general, with the exception of Boccherini's Cello Sonata, G. 1, the phrase structure signal refers to whether or not the secondary theme consists of a self-contained phrase structure that separates it from the extrinsic phrase. The internal phrase structures of the extrinsic phrases vary: some extrinsic phrases contain tightly-knit phrase structures while

[67] The sonatas by Scarlatti and Albero have no dynamic markings while Pugnani's sonata may include dynamic markings, but as of this writing, no edition with reliable markings has been found.

others contain looser structures. Both of the extrinsic phrases by Boccherini use sentence structures. Gaviniès's op. 3, no. 1 and Scarlatti's K. 184 use more loose-knit, but still complete, phrase structures. The remaining movements use parts of larger structures to form their extrinsic phrases. Pugnani's op. 3, no. 1 and Scarlatti's K. 473, both of which contain modally-contrasting extrinsic phrases, use a repeated idea as their extrinsic phrase, creating what seems like an incomplete sentence structure. Albero's keyboard sonata uses two extrinsic phrases, one a sequence and the other a standing on the dominant. Neither of these alone nor their combination forms a complete phrase structure. These three extrinsic phrases conclude without a cadence or dominant arrival, leaving other elements (particularly the contrast with the onset of the secondary theme) to affect a separation between themselves and the secondary theme.

The presence or lack of cadential articulation surrounding an extrinsic phrase depends in part on its internal phrase structure. This cadential articulation, in turn, affects how current terminology—which was created with the late-eighteenth century in mind and emphasizes cadential articulation—might interpret the extrinsic phrases. The conclusions to both the discussion of modally-contrasting and modulating extrinsic phrases sufficiently address how their respective examples possibly relate to current terminology. While there is no need to reiterate those comments, note that no term currently in use by analysts encompasses all examples of either group. Chapter 5 returns to this issue and examines the specific reasons such terms face difficulty in any application to early- and mid-eighteenth century works.

CHAPTER 4

EXTRINSIC PHRASES IN THE SECONDARY KEY

This chapter examines extrinsic phrases that occur in the secondary key of an exposition. It focuses on two functions of such phrases: materially-contrasting extrinsic phrases and supporting extrinsic phrases. Materially-contrasting extrinsic phrases function in a similar manner to modally-contrasting extrinsic phrases, discussed in the previous chapter. Although materially-contrasting extrinsic phrases remain in the prepared secondary key and mode, they still rely on differences between themselves and normative secondary themes to indicate their separate function. The second group of extrinsic phrases discussed in this chapter, supporting extrinsic phrases, occurs in expositions with weak or problematic medial caesuras (often preceded by equally-problematic transitions). In movements containing supporting extrinsic phrases the medial caesura arrives unexpectedly, receives limited emphasis, or fails to prepare for the secondary key's arrival.

The separation signals surrounding each extrinsic phrase, particularly those that form a boundary between the extrinsic phrase and the secondary theme, act as important factor in determining the autonomy of these extrinsic phrases. The extrinsic phrases discussed in Chapter 3 all featured a change in tonality or modality that acted as an important signal of the extrinsic phrase's separation from both the transition and the secondary theme. The extrinsic phrases discussed here all rely on combinations of multiple separation signals for the same task, particularly the separation of the extrinsic phrase and the secondary theme. Often, the separation signals coincide with a violation of one or more of the characteristics of a secondary theme or its onset defined in Chapter 2.

Apart from their avoidance of any change in the exposition's tonality or modality, the two types of extrinsic phrases discussed here establish themselves as independent sections of the exposition in different manners. Materially-contrasting extrinsic phrases usually occur after a strong medial caesura, often conclude with cadences or strong arrivals on the dominant, and contrast with both the transition and the secondary theme in their use of various domains (melody, rhythm, etc.). Supporting extrinsic phrases become separated from their surroundings through more subtle means. Although changes in various domains between the extrinsic phrase and its surroundings support its autonomy, it is usually the context of the extrinsic phrase's use and its internal structure that play the primary role in establishing the extrinsic phrase.

Like the extrinsic phrase types discussed in the previous chapter, current terminology describes various situations similar to some of the extrinsic phrases analyzed here. These terms fail to adequately encompass all of the examples of a given type of extrinsic phrase and say nothing about the function of the extrinsic phrases. Although the current terminology one might use to describe a materially-contrasting extrinsic phrase differs from what might describe a supporting extrinsic phrase, a common analytical possibility unites the two.

Because they occur in the secondary key, a strong temptation exists to interpret materially-contrasting and supporting extrinsic phrases as non-normative onsets to the secondary theme. Such a designation ignores several factors. First, despite occurring in the secondary key, the extrinsic phrases analyzed below include changes in various domains that indicate their separate status from the secondary theme. Although none of the extrinsic phrases here contain an instance of the tonality/modality signal that played the main role in separate the extrinsic phrases in the previous chapter from their surroundings, all use a combination of non-normative harmonies or harmonic syntax, clear phrase structures in the

secondary theme, and changes in dynamics, melody, rhythm, texture, or orchestration, to establish themselves as an independent portion of the exposition.

Contrasting Extrinsic Phrases

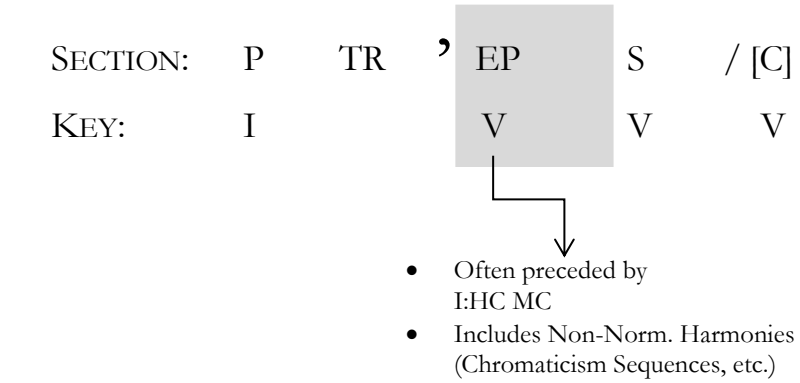
The first section of this chapter examines materially-contrasting extrinsic phrases. The expositions with materially-contrasting extrinsic phrases all follow a general pattern. Figure 4.1 provides an abstract diagram of these expositions. After the primary theme, the transition leads to a strong cadence on the dominant (I:HC or V:IAC) and the medial caesura. The extrinsic phrase occurs immediately thereafter and concludes on V/V, the dominant of the prepared secondary key.[1] A secondary theme and (optional) closing theme in the secondary key follow to complete the exposition. Importantly, the use of an extrinsic phrase neither foreshadows nor precludes the secondary theme from difficulties in reaching a PAC in the secondary key.

Like the modally-contrasting extrinsic phrases from the Chapter 3, these extrinsic phrases emphasize the medial caesura and secondary theme. Each extrinsic phrase temporarily delays the secondary theme, thereby denying expectations created by the transition and medial caesura. These extrinsic phrases function neither as a postscript to the transition nor as an introduction to the secondary theme, but as an independent section of the form.

Materially-contrasting extrinsic phrases become separated from the transition of their respective expositions via the medial caesura cadence and gap that precede them. Despite the non-normative harmonies and/or harmonic syntax within the extrinsic phrase, these

[1] The examples of this type of extrinsic phrase found thus far occur in major-mode movements. However, nothing excludes minor-mode movements from containing similar extrinsic phrases. In those movements, the extrinsic phrase might end on V/III or V/v, depending on the choice for the secondary key.

sections remain separate because the extrinsic phrase avoids increases in surface rhythm or dynamics and other characteristics that would suggest that the extrinsic phrase acts as a continuation of the transition.



Key:

P	Primary Theme	S	Secondary Theme
TR	Transition	/	Essential Expositional Closure (EEC)
’	Medial Caesura	C	(Optional) Closing Theme
EP	Extrinsic Phrase		

Figure 4.1 Abstract Diagram of Contrasting Extrinsic Phrase Exposition

Materially-contrasting extrinsic phrases separate themselves from the secondary theme primarily through their use of harmony. Secondary theme onsets confirm the presence of the new key by articulating a tonic chord followed by a normative harmonic progression in the secondary key. Materially-contrasting extrinsic phrases use non-normative or chromatic harmonies, sometimes in combination with a less-stable harmonic progression, like a sequence. This differs significantly from the harmonic norms of a secondary theme's onset, and separates the extrinsic phrase from expectations thereof.

Sometimes, the differences between the extrinsic phrase's harmonies and what one would expect of a normative secondary theme are momentary, i.e. they may only occur at the

opening of the extrinsic phrase and not throughout. In other movements, the "non-normative" harmonies found in the extrinsic phrase, though not diatonic within the secondary key, would, at any other point, represent normative harmonic options (e.g. V/V). In these cases, changes in other domains—e.g. melody, dynamics, and texture—become an important element in supporting the extrinsic phrase's autonomy. The phrase structure of the secondary theme also becomes particularly important: by demarcating the secondary theme with a clear, more-tightly knit phrase structure, composers preserve both it and the extrinsic phrase's autonomy.

This section analyzes four movements: the first movement of Boccherini's String Quartet in A Major, op. 39, no. 8, G. 213 (1787), Scarlatti's Keyboard Sonata in C Major, K. 420 (n.d.), the first movement of Joseph Haydn's Symphony no. 6 in D Major, "Le Matin" (1761), and the finale of Haydn's String Quartet in F Major, op. 17, no. 2 (1771). The works by Boccherini and Scarlatti use extrinsic phrases with similar features. Namely, both build their extrinsic phrases around a central, multiple-measure idea repeated sequentially. In both cases, this idea includes emphasis on a weaker, predominant harmony from the secondary key. The two movements by Haydn contain extrinsic phrases that differ from one another in their use of harmony, but use other domains, especially changes in texture and dynamics, in similar manners.

At the time of this writing, I am unaware of any connection between Haydn and Scarlatti.[2] Although the former may have known of the latter, it is uncertain if Haydn' knew Scarlatti's music in any capacity. A connection between Haydn and Boccherini, however, exists, though it is unlikely either exerted any notable influence on the other. Haydn was at least aware of Boccherini and his work. Haydn's 1781 letter to their mutual publisher,

[2] The connection (or, more appropriately, lack thereof) between Scarlatti and Boccherini was discussed in the introduction to the section on modally-contrasting extrinsic phrases in the previous chapter.

Artaria, asks for the location of Arenas de San Pedro, where Boccherini lived.[3] Additionally, no record of a meeting between Haydn and Boccherini exists, but both composers worked in Vienna during the late 1750s and early 1760s. Haydn worked as a composer and private teacher; he began his employment with the Esterházy family in 1761. Boccherini, along with his father, performed during the theater season at the *Kärntnertortheater* in the late 1750s and early 1760s.[4] Haydn worked with the theater during the 1750s through a contract facilitated by Joseph Felix von Kurz, a comic actor there.[5]

Boccherini, String Quartet, G. 213

The first movement of Boccherini's String Quartet in A major, G. 213, a Type 2 sonata form, provides an initial example of a materially-contrasting extrinsic phrase. This, taken with the modally-contrasting extrinsic phrases from the String Trio G. 79 and Cello Sonata G. 1, discussed in Chapter 3, supports the notion that Boccherini used materially-contrasting and modally-contrasting extrinsic phrases throughout his life and that this use forms part of his overall style.[6]

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3 Haydn knew Boccherini lived in Arenas, Spain, but no one in his circle knew precisely where Arenas was. In the letter to Artaria, he states: "Niemand bey uns weiß mir zu sagen: wo dieser Orth Arenas [Arenas de San Pedro] ligt. Es muß doch unweit Madrid seyn; bitte demnach mir dieses zu wissen zu Machen indem ich selbst dem Herrn Boccherini schreiben werde" ["No one here can tell me where this place Arenas [de San Pedro] is. It must be near Madrid; please let me know so that I may write him myself"] (My translation). See Haydn to Verleger Artaria, 27 May 1781, in *Joseph Haydn: Gesammelte Briefe und Aufzeichnungen*, ed. Dénes Bartha, (Kassel: Bärenreiter Verlag, 1965), 97.

4 Specifically, Boccherini played at the theater in 1750, 1760–61, and 1763–64. On some or all of the trips to Vienna, Boccherini's sister and brother likely joined the family in their travels, performing as dancers. For more information on Boccherini's life, especially his early years, see Elisabeth Le Guin, "'As My Works Show Me to Be': Biographical," in *Boccherini's Body: An Essay in Carnal Musicology*, (Berkeley, CA: University of California Press, 2006), 38–64.

5 Haydn supplied music for *Der krumme Teufel*, likely written in the early 1750s and a later version of the same from 1759. Though a libretto survives for the later work, the music does not survive for either version. See George Feder and James Webster. See "Haydn, (Franz) Joseph," *Grove Music Online*, edited by Deane Root, www.oxfordmusiconline.com (accessed 29 January, 2018).

6 Boccherini listed the composition date of the String Trio G. 79 as 1760 in his personal catalog. While the composition date of the cello sonata remains unknown, it is not unreasonable to assume an early date of composition for the work given Boccherini's work as a virtuosic performer on the cello. The String Quartet G. 213 was composed later in Boccherini's career, in 1787.

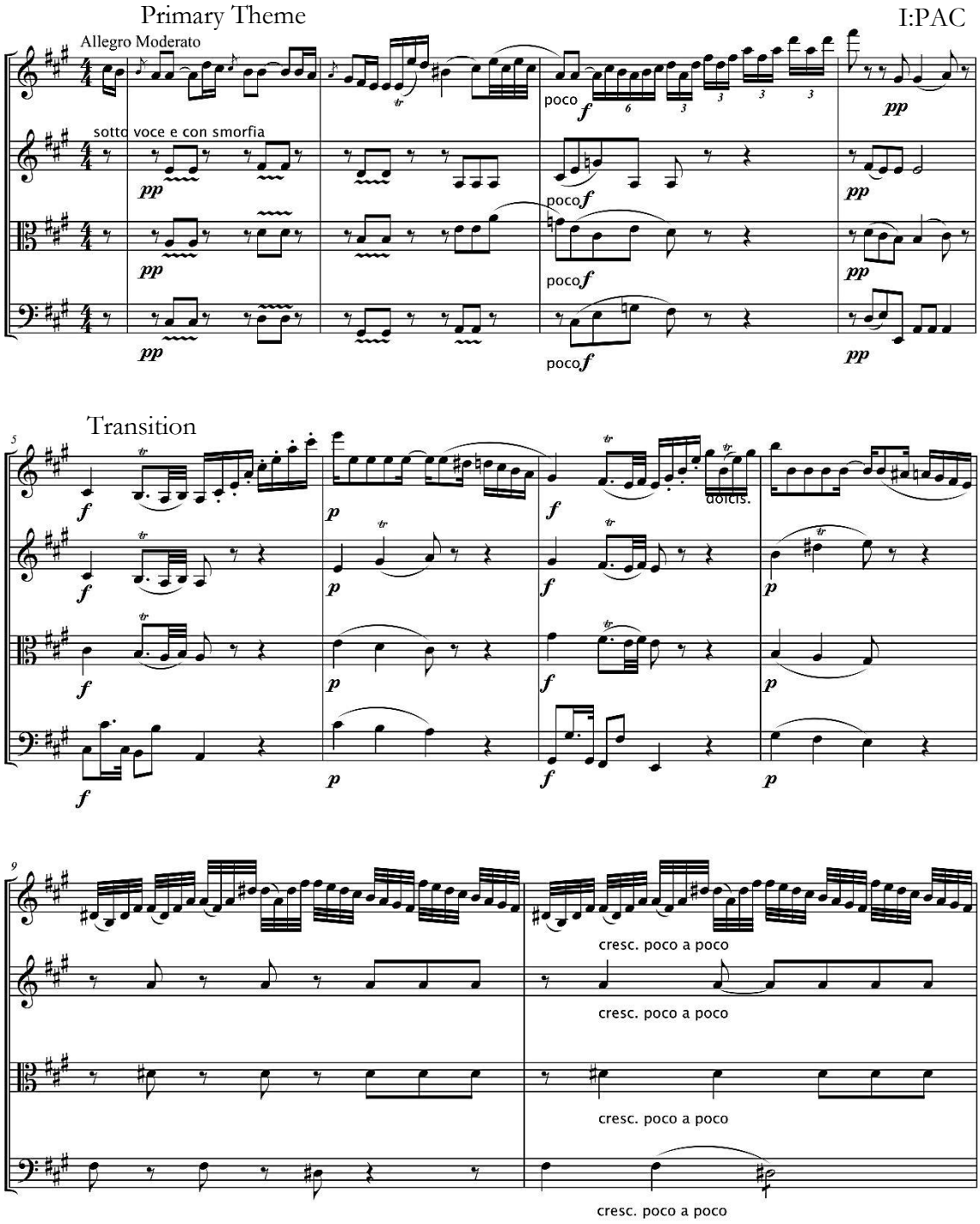

Figure 4.2 Boccherini, String Quartet in A Major, G. 213, i, Exposition

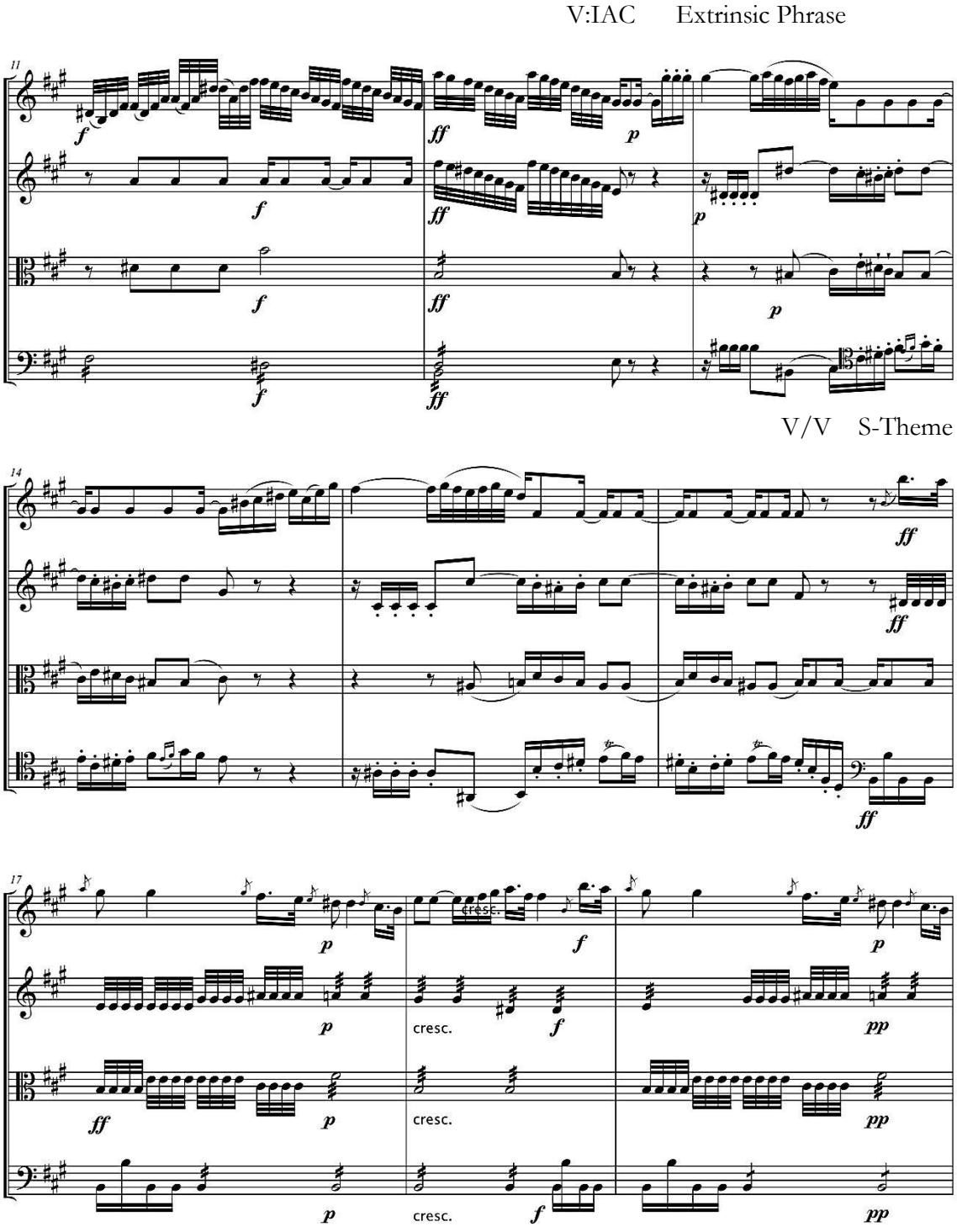

Figure 4.2, Continued

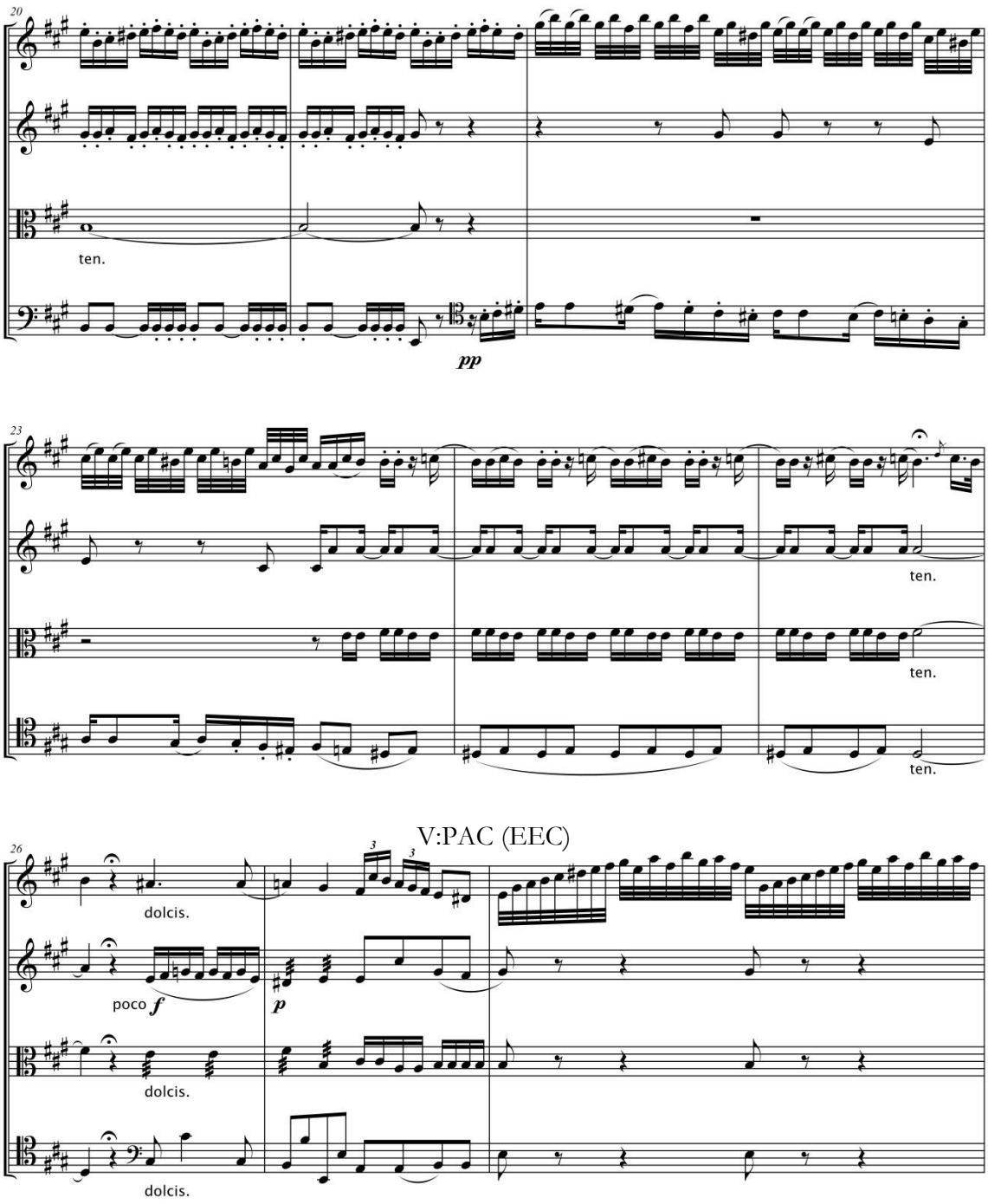

Figure 4.2, Continued

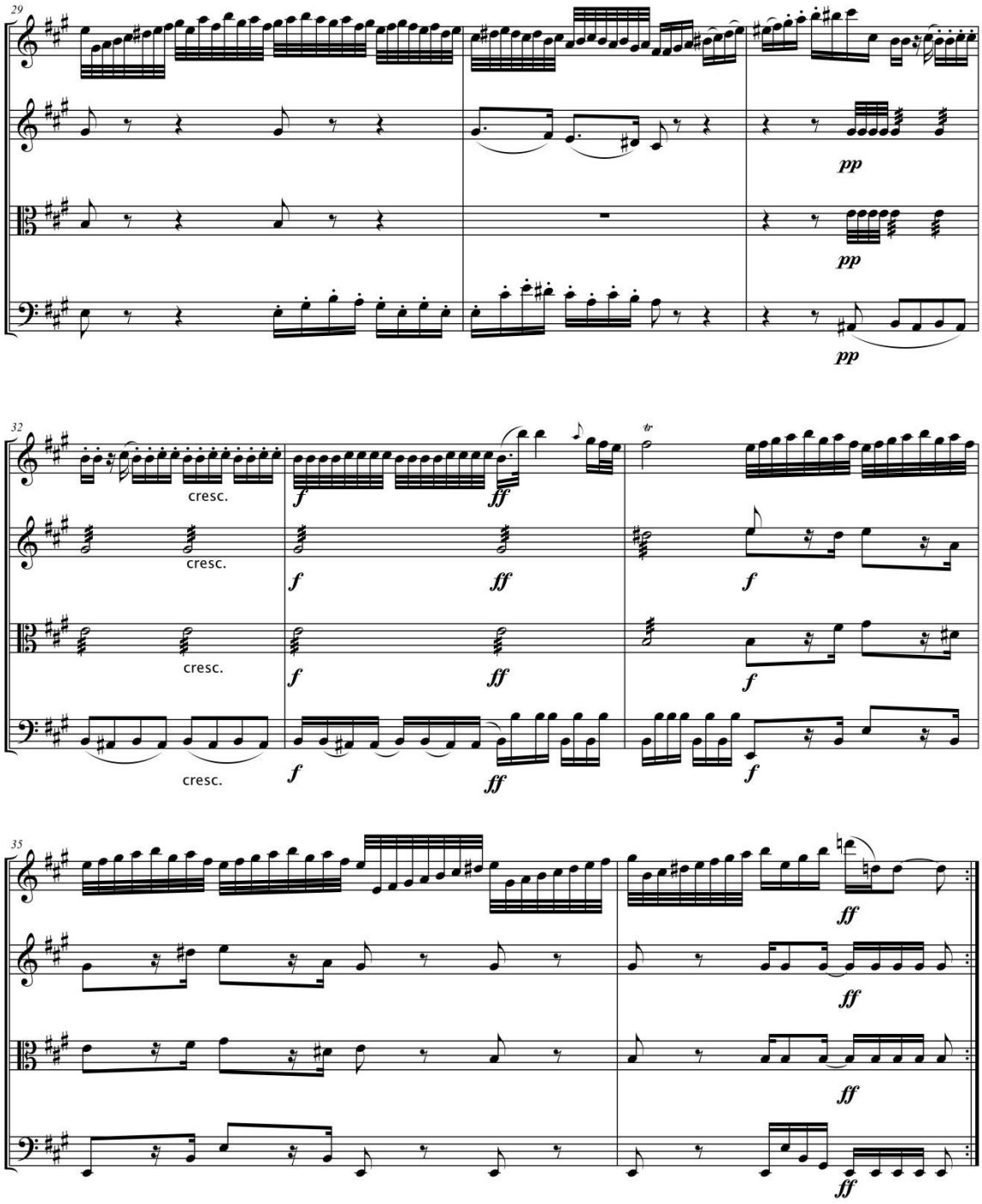

Figure 4.2, Continued

Figure 4.2 provides a score to the exposition of the first movement of Boccherini's String Quartet, G. 213.[7] The brief primary theme, mm. 1–4, ends with a PAC in the tonic, A major. The transition, mm. 5–12, begins with an immediate shift in dynamics from *pianissimo* to *forte*. This section concludes with a V:IAC at m. 12; the medial-caesura gap follows.[8]

A four-bar extrinsic phrase, mm. 13–16, occurs immediately after the medial caesura, forcing the exposition to (temporarily) delay the onset of the secondary theme. The extrinsic phrase consists of a two-bar idea and its sequential repetition. The presence of a sequence already suggests that these measures act as something other than the secondary theme.[9] A closer look at the harmonies confirms this. Supported by its dominant, C-sharp minor (the submediant of E major) controls mm. 13–14 after which a repetition of the idea, shifted down a step, yields a similar passage emphasizing the dominant. Note that mm. 15–16 initially use the minor dominant (B minor), but soon shift to the major dominant for the extrinsic phrase's conclusion in m. 16.[10] Boccherini's use of the dominant at m. 16 halts the quasi-sequential material begun in m. 13 and harmonically readjusts the exposition in preparation for the onset of the secondary theme at m. 21. The ending of the extrinsic phrase here remains purposefully weak in order to preserve the dramatic effect of the secondary theme's *fortissimo* onset, initiated by the first violin. A dominant pedal in the cello

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[7] The following paragraphs discussed the movement's exposition. However, because of the limited availability of the score, I have provided the score to the entire movement for those curious about the extrinsic phrase's appearance during the second rotation.

[8] Although Hepokoski and Darcy do not list a V: IAC among their default options for medial caesura cadences in the late-eighteenth century, this option is used at times. For another example, see the first movement of Beethoven's String Quartet in C major, op. 59, no. 3. There a V: IAC medial caesura at m. 77 concludes the fourteen-bar transition (mm. 63–77). The cadence, marked *forte*, is followed by an eighth-rest gap in all parts and a secondary theme marked *piano*. Like the cadence in our current example the medial caesura is supported by various elements that solidify its importance.

[9] Sequences usually coincide with more loosely-knit formal sections like the transition. Despite the presence of the sequence, nothing else within these measures indicates a return to the transition following the medial caesura.

[10] Although the extrinsic phrase uses a modally borrowed dominant, it does so only briefly and with no other indication of a change in the normative mode (i.e. no other lowered scale degrees, etc.). For this reason, I consider this passage an example of a contrasting extrinsic phrase and not a modally-contrasting extrinsic phrase.

underpins the first part of the secondary theme. A V:PAC in m. 21 confirms the key, but, following a repetition, a later V:PAC in m. 28 acts as the EEC. A brief closing section, mm. 28–36, concludes the exposition.

As in the previous chapter, various elements separate the extrinsic phrase from the transition and the secondary theme.[11] The medial-caesura cadence and gap, the dynamic contrast surrounding the extrinsic phrase, and the G-sharp in the first violin at m. 12 initially support reading mm. 13 ff. as the onset of the secondary theme. However, the extrinsic phrase's use of a sequence, avoidance of the tonic chord, and its inclusion of non-normative harmonies refute this possibility. Although the sequence in particular might signal a return to the transition (after the "failure" of the medial caesura), these measures avoid other normative characteristics from the transition, e.g. an increase in dynamics (loudness), surface rhythm, and so forth. The cursory nature of these measures and their weak ending further support their interpretation as an independent section from the transition.

The harmony of the extrinsic phrase provides the greatest evidence of these measures' independence from the secondary theme. The opening of the extrinsic phrase, a solo G-sharp in the first violin, suggests the arrival of E major, the prepared secondary key. The arrival of the G-sharp major chord (V/vi) in m. 13 signals that a normative secondary theme has yet to begin.[12] Measures 13–16 meander through a sequence that emphasizes the submediant and later, the minor dominant. The extrinsic phrase relinquishes D-natural in favor of D-sharp only at its conclusion. The secondary theme's onset in m. 17 makes the harmonic abnormalities of the extrinsic phrase even more palpable. By virtue of its more

[11] A summary of the separation signals may be found in Appendix A, Figure A.8.
[12] Similar "false starts" to the secondary theme occurred in the examples of modally-contrasting extrinsic phrases by Boccherini.

normative harmonic syntax, the secondary theme forms a stark a contrast to the extrinsic phrase.

Texture, particularly the use of the accompaniment, plays a subtle, but important role in delineating the boundaries of the extrinsic phrase. Boccherini often composes his chamber music for strings in a way that features each of the quartet's voices. In the first movement of this quartet, Boccherini delays this egalitarian approach, creating a texture dominated by the first violin until the extrinsic phrase.[13] During the extrinsic phrase, the accompanying voices take on a greater role than in previous sections, chiming in with a *riposte* following the first violin in measures 13 and 15. Although a minor change compared with the other signals discussed here, the accompaniment stands out, particularly to those familiar with Boccherini's chamber music.

As occurred in examples in the previous chapter, the combination of signals that separates the extrinsic phrase from the transition and the secondary theme creates problems for any attempt to understand the extrinsic phrase as part of the other formal sections. The medial caesura cadence and gap, the dynamic contrast surrounding the extrinsic phrase, and the G-sharp in the first violin at m. 12 initially support reading mm. 13 ff. as the onset of the secondary theme. That this forms the normative option at this point only strengthens that idea. On the other hand, the sequence, avoidance of the tonic chord, and non-normative harmonies refute this possibility. Although the sequence, in particular, might signal a return to the transition, these measures avoid other normative elements from the transition like an "energy gain." The cursory nature of these measures and their weak ending further supports their interpretation as an independent element. The onset of the secondary theme at m. 17,

[13] This is particularly odd when one considers that the other movements of this quartet feature Boccherini's normative style of chamber writing.

which clearly and succinctly establishes the secondary key, further rebuts any attempts to include mm. 13–16 within that section.

To reiterate an earlier claim: the extrinsic phrase acts as an element of the style, not as a necessary section of the form. Other sections of the form—primary theme, transition, and secondary theme—each perform some function necessary to the completion of the exposition's tonal trajectory.[14] The omission of the extrinsic phrase in this movement would only change how quickly the secondary key's confirmation (i.e. the EEC) arrives. If anything, the absence of the extrinsic phrase creates a more normative exposition where the secondary theme immediately follows the medial caesura. By inserting a passage that differs from expectations set forth by the medial caesura, Boccherini interrupts the anticipated path of the exposition and delays the arrival of the secondary theme and emphasizes the medial caesura and the onset of the secondary theme.

Scarlatti, Keyboard Sonata, K. 420

Scarlatti's Keyboard Sonata in C Major, K. 420 uses a similarly structured extrinsic phrase that consists of an idea and its sequential repetition. The similarities between the two movements end when it comes to the treatment of the extrinsic phrase during the second rotation of the movement. In Scarlatti's sonata, the second rotation does not simply repeat a transposed version of the extrinsic phrase from the exposition, but transforms the extrinsic phrase into a retransition. This new function for the extrinsic phrase affects the interpretation of the exposition in ways that are addressed below.

[14] The primary theme establishes the home key; the transition prepares the secondary key; and the secondary theme confirms the motion to that key. Note that the closing theme does not perform a function necessary to the exposition's tonal motion either, but is an optional section that occurs after the conclusion of this motion, not as an interruption thereof.

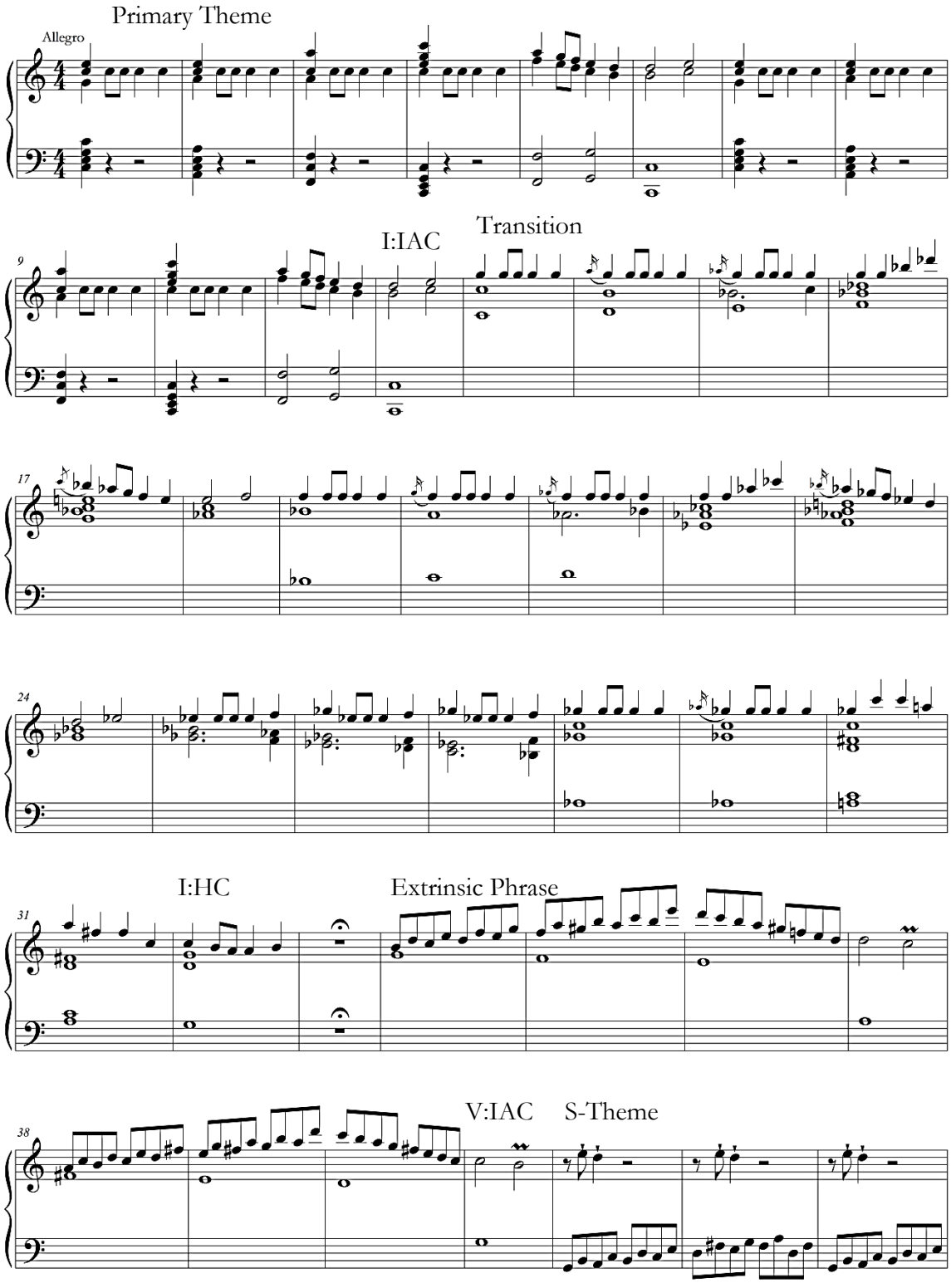

Figure 4.3 Scarlatti, Keyboard Sonata in C Major, K. 420, Exposition

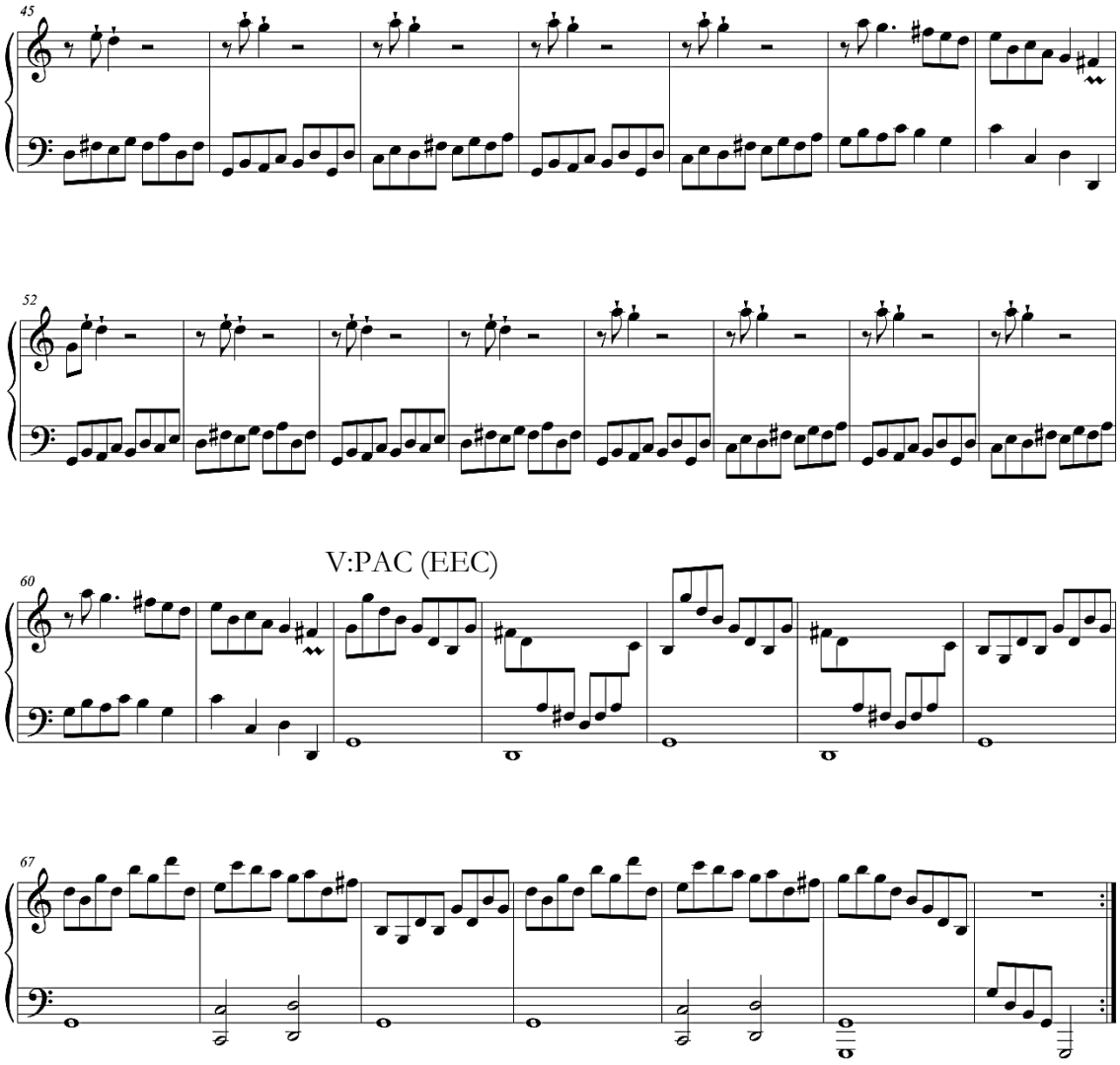

Figure 4.3, continued

Unlike other composers, Scarlatti's extrinsic phrases tend to exhibit fewer separation signals than other examples. Part of the reason for this lies in the availability of the signals. Scarlatti's keyboard compositions include no dynamic markings. Many works feature a prevalent melodic or rhythmic motive underpinning large portions of the movement, creating similar melodic or rhythmic profiles across multiple sections of the form. Finally,

Scarlatti rarely features stark changes in texture, instead favoring gradual additions and subtractions of voices.

Figure 4.3 provides the score of the exposition. The primary theme, mm. 1–12, concludes with a I:IAC. The theme introduces a rhythmic motive that pervades most of the primary theme and transition. The transition consists of a six-bar phrase (mm. 13–18) and its two sequential repetitions (mm. 19–25 and 26–32, respectively). It concludes with a chromatically decorated half cadence in the tonic at m. 32.[15] The medial caesura, a full bar of rest accompanied by a fermata, occupies the entirety of m. 33.

The extrinsic phrase, mm. 34–41, consists of a four-bar idea and its sequential repetition. Although the initial harmony of the extrinsic phrase, a tonic chord in the secondary key, seems to indicate the onset of the secondary theme, the tonicization of A minor in mm. 35–37 and the sequential nature of the extrinsic phrase create tonal ambiguity not normative to a secondary theme. The extrinsic phrase concludes with an arrival on the dominant of the secondary key (V/V). Even though there is a fermata, the end of the extrinsic phrase here produces an effect similar to what occurred in Pugnani's Sonata for Two Violins, op. 1, no. 3, discussed in the previous chapter. The dominant chord in m. 41 receives no greater emphasis than the A minor triad in m. 37. A ten-bar repeated phrase, the secondary theme, follows in mm. 42–62. The use of a self-contained, more tightly-knit phrase structure for the secondary theme separates that theme from the extrinsic phrase. The secondary theme ends with a V:PAC. A closing theme, mm. 62–73, concludes the exposition.

[15] Although the chromaticism aurally obscures the tonic key, the voice leading before the G major chord indicates an approach to the dominant by leading from an enharmonically-spelled augmented sixth chord, through a secondary dominant, and finally to the dominant, G major.

Despite the extrinsic phrase's opening on the tonic of the secondary key, the harmonic language subtly points to the extrinsic phrase's non-thematic function. Scarlatti's use of harmony differs from the other extrinsic phrases analyzed in this section. Many extrinsic phrases temporarily seem like normative secondary theme onsets because of an initial pitch or melodic figure (e.g. the first violin's G-sharp at the beginning of the extrinsic phrase from Boccherini's G. 213, discussed above). Scarlatti takes this practice further by initiating the extrinsic phrase in K. 420 with a tonic triad in the secondary key. However, the emphasis on the supertonic and, in particular, the sequential structure of these measures overrides a strong-state signal of a secondary theme onset and destabilizes the extrinsic phrase. A final signal of the extrinsic phrase's autonomy in the exposition comes from the secondary theme, which uses a more tightly-knit phrase structure (a repeated phrase), making its independence from the extrinsic phrase clear.

The extrinsic phrase's appearance during the second rotation confirms its separation from the secondary theme during the exposition. The second rotation begins in m. 74 with the development (mm. 74–93) of the primary theme and transition. Instead of using the material from the primary theme and transition to return to the tonic key, Scarlatti abandons this material in favor of a retransition constructed around the extrinsic phrase. The change in the extrinsic phrase's function during the second rotation affects the interpretation of the extrinsic phrase in the exposition by clearly separating these measures from the secondary theme.

The extrinsic phrase returns in an extended form in mm. 94–109. The extrinsic phrase's use of novel material makes it ideal for bridging the gap between the two halves of the rotation. The first six bars, mm. 94–99, use sequential repetitions of the rising thirds from the original phrase to descend to the C major triad (eventually a seventh chord) at m.

100. Measures 100–109 repeat the original extrinsic phrase, now transposed to tonic. The extrinsic phrase completes its work as the retransition when it arrives on the tonic and pauses in m. 109 before the return of the secondary theme.

In both rotations, the extrinsic phrase provides a noticeable contrast to the material that surrounds it. Scarlatti achieves this contrast primarily through the extrinsic phrase's harmony which differs from normative expectations of a secondary theme.[16] The secondary theme's phrase structure supports the extrinsic phrase's separation by virtue of its tightly-knit structure. As with the other movements discussed in this section, the exposition's extrinsic phrase delays the anticipated secondary theme onset, thereby drawing attention to the medial caesura and increasing the dramatic impact of the secondary theme when it arrives. During the second rotation, Scarlatti fashions a retransition from the extrinsic phrase instead of the original transition. The extrinsic phrase effectively overtakes the function of the transition and "switches sides" of the rotation, becoming part of the first half of the rotation rather than the second.[17] Regardless of the phrase's familiarity at this point in the work, the change in function here represents one of the more drastic manners in which an extrinsic phrase can be altered from one rotation to another. Although the term "extrinsic" signifies a lack of structural necessity on the extrinsic phrase's part, such alterations allow an extrinsic phrase to potentially function at an important structural level.

Haydn, Symphony No. 6

Like Boccherini and Scarlatti, Haydn also used materially-contrasting extrinsic phrases to emphasize the medial caesura and dramatize the arrival of the secondary theme.

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[16] A summary of the separation signals used in the exposition may be found in Figure A.9.
[17] Note that I do not say the extrinsic phrase "overwrites" the transition. The elements of the transition (and the primary theme) occur in the second rotation, but do not perform the task assigned to them in the exposition.

Two of his compositions, the first movement of Symphony No. 6 in D Major, "Le Matin" (1761) and the finale of the String Quartet in F Major, op. 17, no. 2 (1771), contain clear examples of materially-contrasting extrinsic phrases. Written ten years apart, they use similar changes in various domains to separate the extrinsic phrase from the transition and secondary theme. The use of harmony forms an exception here: although both movements include non-normative uses of harmony each employs it in a different manner. The symphony uses ambiguous harmonies organized into a sequence that obscures any sense of key while the string quartet features a chromatic harmony at its outset and followed by intense, but decorative chromaticism at its conclusion.

Figure 4.4 provides the exposition of the symphony.[18] The primary theme, mm. 7–14, concludes with a PAC in the tonic key, D major. The transition, mm. 14–20, is based on the primary theme. It remains in the home key and concludes with a I:HC at m. 20; a two-beat gap in all voices follows. Instead of the secondary theme, an extrinsic phrase occurs in mm. 21–27. The extrinsic phrase ends on the dominant of A major, the secondary key at the beginning of m. 27. This dominant simultaneously ends the extrinsic phrase and initiates the secondary theme, which begins at *forte* in the same measure. The secondary theme uses a quasi-sentential structure: mm. 27–28 consist of a compact, rhythmically intense basic idea and its repetition. The four-bar continuation mm. 29–32 lead to deceptive motion after which these measures are repeated (mm. 32–35) to reach a PAC in the secondary key. A closing section, mm. 35–47, completes the exposition.

[18] This example begins at m. 7, where the primary theme enters, and omits the slow introduction that occurs in mm. 1–6.

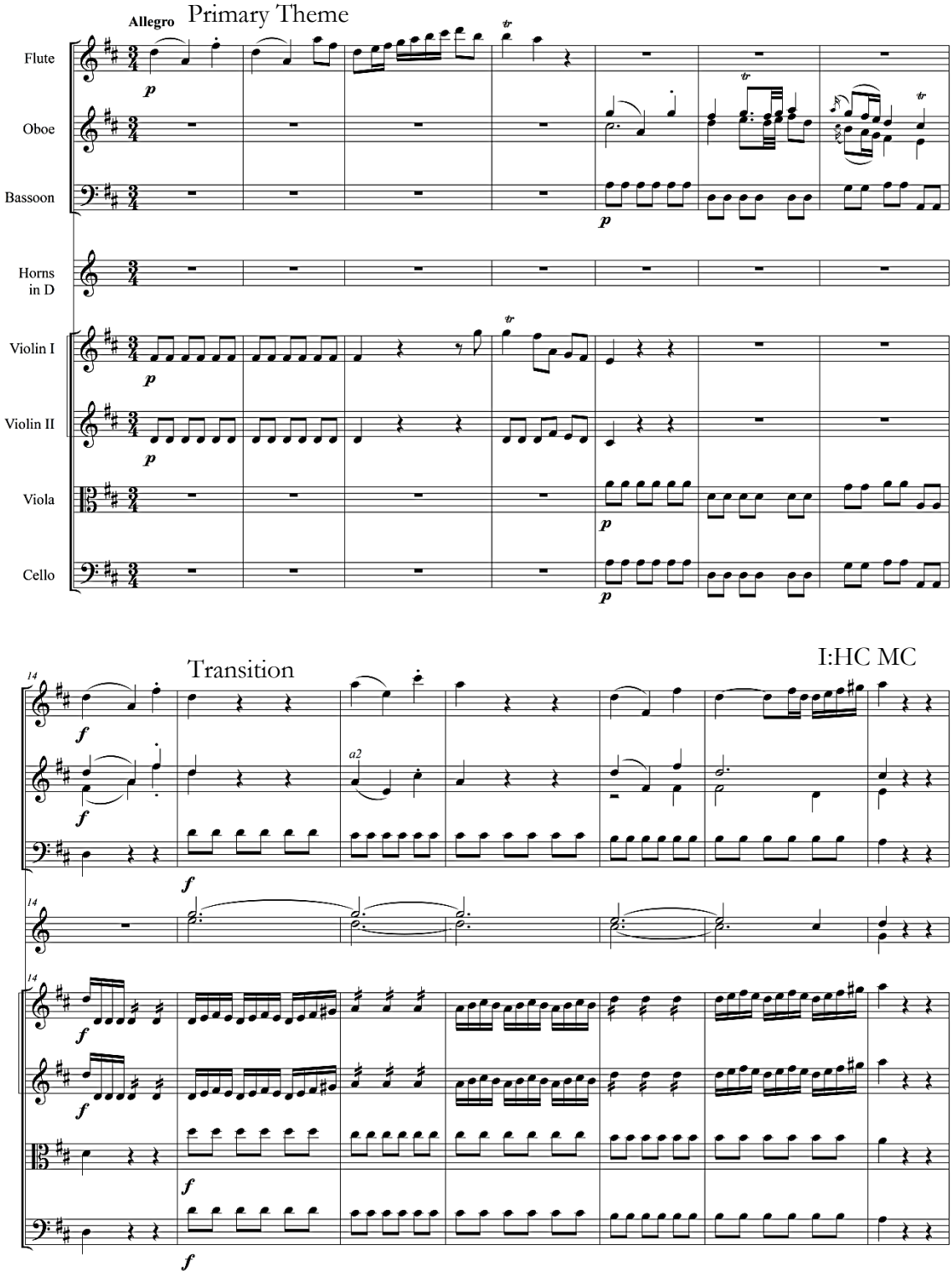


Figure 4.4 Haydn Symphony no. 6, i

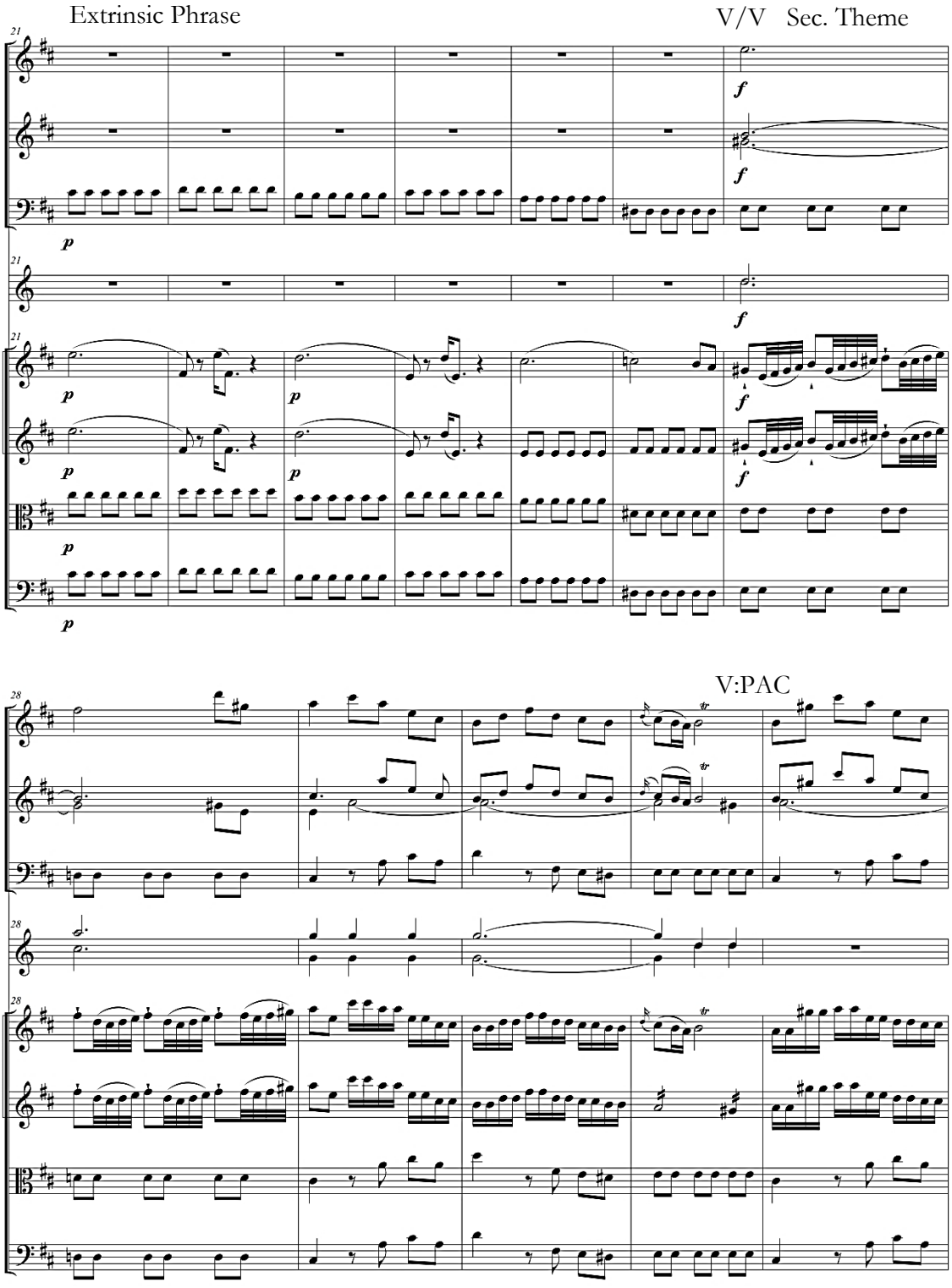
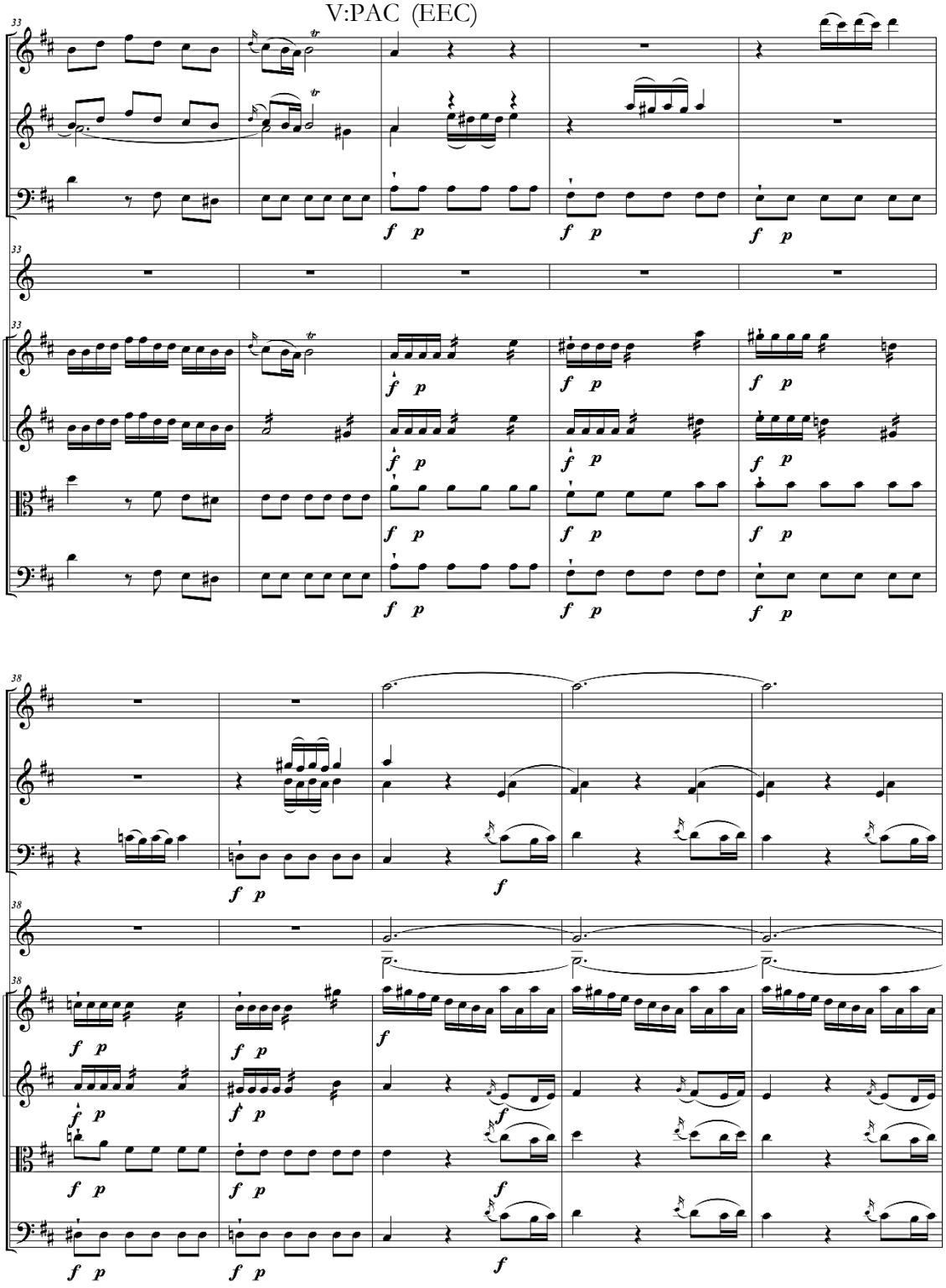


Figure 4.4, continued



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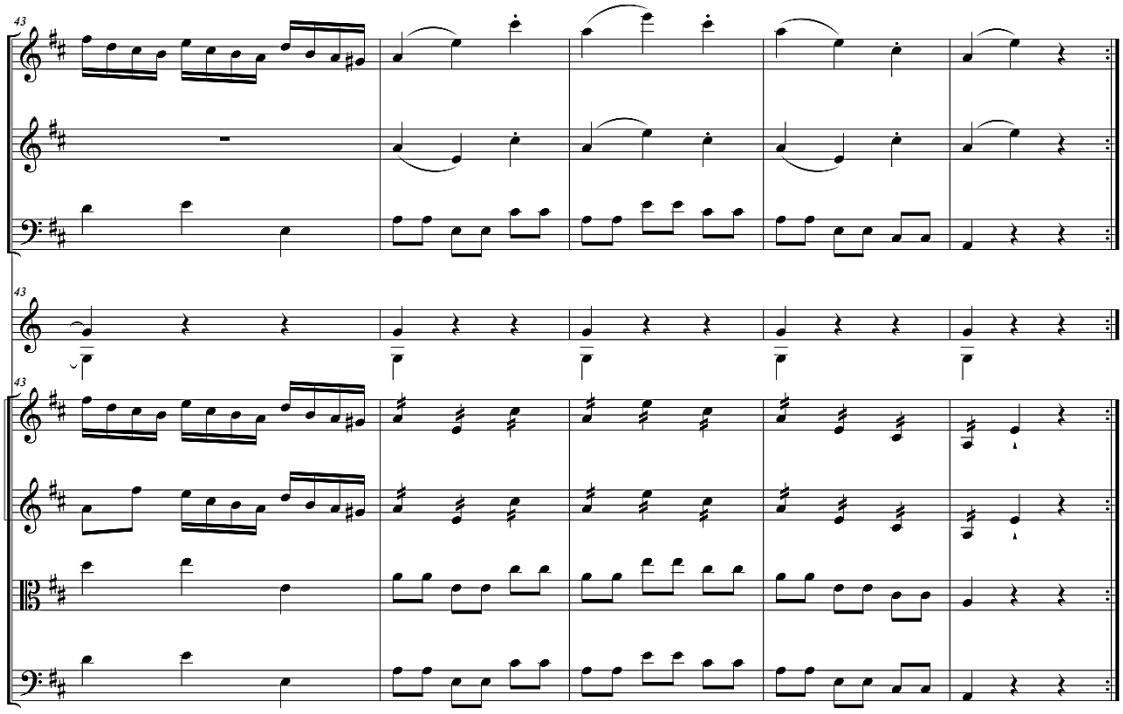


Figure 4.4, continued

Some would argue that the beginning of what I call the extrinsic phrase in this movement sounds like the onset of a secondary theme.[19] The changes in dynamics and texture that accompany m. 21 in particular suggest that this passage acts as a new section of the form, but not that that section functions as the secondary theme.[20] Importantly, the harmony at this point does not necessarily support this passage's potential function as the onset of the secondary theme. Although one expects a secondary theme in the dominant to follow the transition, the transition did not modulate and ended with a I:HC. This leaves

[19] In fact, Hepokoski and Darcy include an analysis of this movement where they identify mm. 21–27 as part of the secondary theme. Their analysis will be addressed below.
[20] A summary of the separation signals in this example may be found in Appendix A, Figure A.10.

open the possibility that the transition continues after a false medial caesura, creating what Caplin would call a "two-part transition."[21]

Instead of beginning with the tonic of the secondary key, as one might expect, mm. 21–27 begin with an ambiguous dyad (C-sharp and E) that functions either as an incomplete tonic in the secondary key (A major) or as a dominant-functioning harmony in the home key (D major).[22] The measures that follow comprise a five-measure descending seconds sequence composed entirely of such dyads. This sustains the harmonic ambiguity from the first dyad until the extrinsic phrase's conclusion on an E major triad (V/V).

Haydn's use of a sparse texture during the extrinsic phrase heightens the harmony's impact, as does the absence of a melodic line.[23] The texture, composed only of two different lines, uses constant eighth- and dotted-half-note drones save a few ornaments articulated in mm. 22–24 by the violins. The extrinsic phrase's orchestration includes only the strings and bassoon, excluding the high-woodwinds and the horns. The texture and orchestration differ greatly from the transition and the secondary theme, both of which feature a more intricate texture performed by the entire ensemble.

Hepokoski and Darcy's discuss this movement in *Elements of Sonata Theory*, but interpret what I call the extrinsic phrase as an abnormal onset to the secondary theme. Their analysis, however, brings up several points that support my own:

> In the first movement of his [Haydn's] Symphony No. 6 in D, "Le matin," the expositional TR proceeds to a normative second-level default I:HC MC in m. 20. The S that follows in m. 21 is marked at its outset by, if anything, the absence of a theme—a witty effect, perhaps suggesting that a preassigned theme had missed its

[21] Caplin's *Classical Form*, includes an example of a similar situation that occurs in the third movement of Mozart's Piano Trio in D Minor, K. 442. There, the arrival of a I:HC at m. 24 leads to an apparent medial caesura at m. 31. Instead of continuing to the secondary theme, the following measures, mm. 32–46 continue the transition, leading to a V:HC medial caesura. See Caplin, *Classical Form*, 137–38, especially Example 9.15.
[22] By "dominant-functioning" here I mean to include both an incomplete dominant triad (A major) and an incomplete leading tone triad (C-sharp diminished) in D major, the home key.
[23] A summary of the separation signals used here may be found in Appendix A, Figure A.10.

> cue and failed to enter. The S-zone snaps into action only with a sudden *forte* in m. 27…driving toward the EEC in m. 35.[24]

Importantly, the authors note the "absence of a theme" during the measures I call the extrinsic phrase as well as a "snap into action" at the point where I consider the secondary theme to begin. Returning to the idea of "either/or" versus "neither/nor" in analysis, the authors appear to work from the former perspective: mm. 21–27 either form a continuation of the transition or they are somehow a part of the secondary theme. Faced with these possibilities, the designation "secondary theme" forms the obvious choice. My term "extrinsic phrase" allows an analyst to look at these "non-thematic" measures and interpret them as neither part of the transition nor the secondary theme, but as an independent section with its own function.

Designating what I call the extrinsic phrase as an abnormal secondary theme onset ignores the elements that separate this from the function of a secondary theme. If the extrinsic phrase acted as the beginning of a secondary theme, the key of the passage would be clear. Here, Haydn arranges ambiguous dyads into a sequence that obscures any sense of key until the approach to the dominant. Interpreting this passage as a non-normative onset to the secondary theme also confines its status to that of a localized quirk within the movement. At best, one might consider it further evidence of Haydn's famous sense of humor (and indeed, it may be). However, this passage forms an example of a larger practice both within Haydn's work and across the works of other composers working within the early- and mid-eighteenth century.

[24] See Hepokoski and Darcy, *Elements of Sonata Theory*, 239.

Haydn, String Quartet Op. 17, No. 2

The finale of Haydn's String Quartet in F Major, op. 17, no. 2 also contains a contrasting extrinsic phrase. In this movement, Haydn uses a secondary theme inspired by the events of the transition. The connection between these formal sections plays an important role in separating the extrinsic phrase from its surroundings. It also provides an additional reason for the extrinsic phrase's inclusion, beyond the contrast that the extrinsic phrase creates.

Figure 4.5 provides the score to the exposition.[25] The transition, mm. 13–26, ends with a lengthy but problematic prolongation of the dominant, C major. This prolongation avoids articulating a root-position dominant, concluding instead with a first-inversion chord.[26] The medial caesura, a gap in all voices, precedes the anacrusis in the first violin that initiates the extrinsic phrase. The extrinsic phrase occurs in mm. 27–39. Its first section, mm. 27–32, begins with a non-normative, chromatic harmony (V/V in the secondary key, C major). This harmony comes as a surprise: after the end of the transition, one expects either the tonic or the dominant of the new key, not a chromatic chord. Its juxtaposition with the C major triad that precedes it (the presumed tonic of the secondary key) makes the D major triad's chromatic nature more prominent. The second section, mm. 33–39, encompasses a lengthy prolongation of the dominant which concludes the extrinsic phrase. Chromatic neighbor notes decorate this prolongation. In m. 39, a dominant seventh chord emphasized by a fermata closes the extrinsic phrase. A gap in all voices, also marked with a fermata, follows.

[25] A summary of the separation signals in this example may be found in Appendix A, Figure A.11.
[26] Note that during mm. 18–23, the viola frequently plays the bass note.

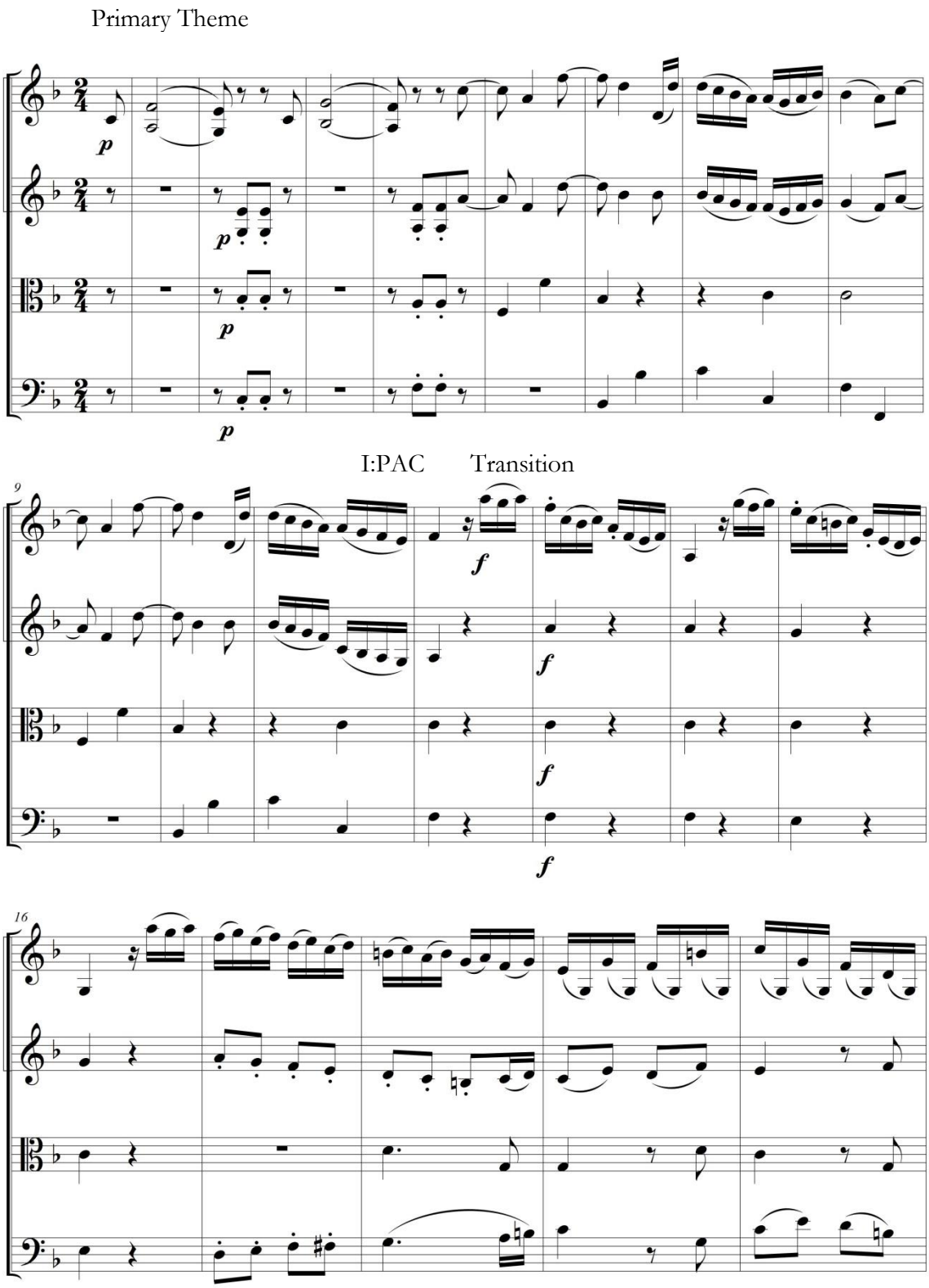


Figure 4.5 Haydn, String Quartet op. 17, no. 2, iv, Exposition

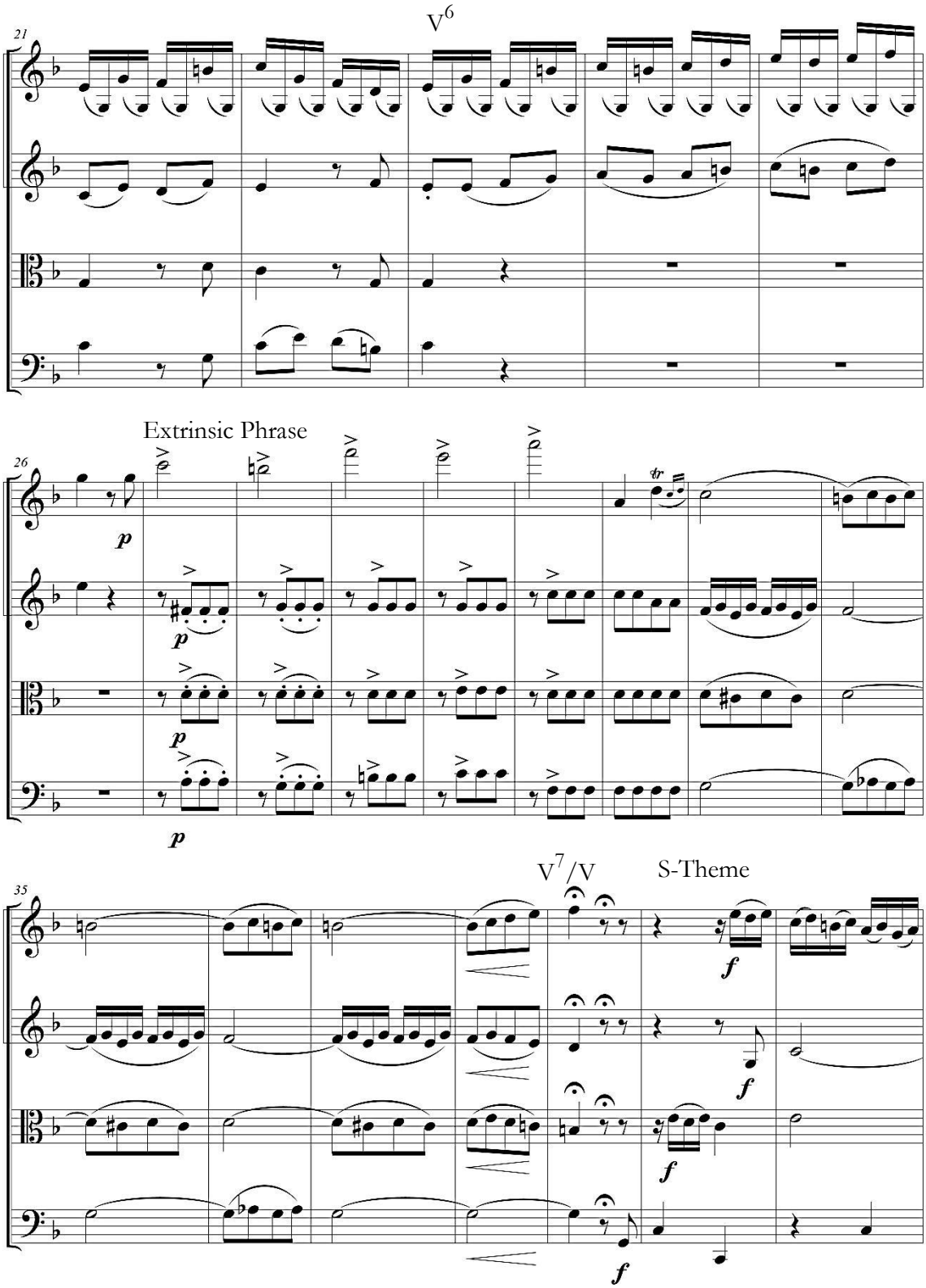


Figure 4.5, continued

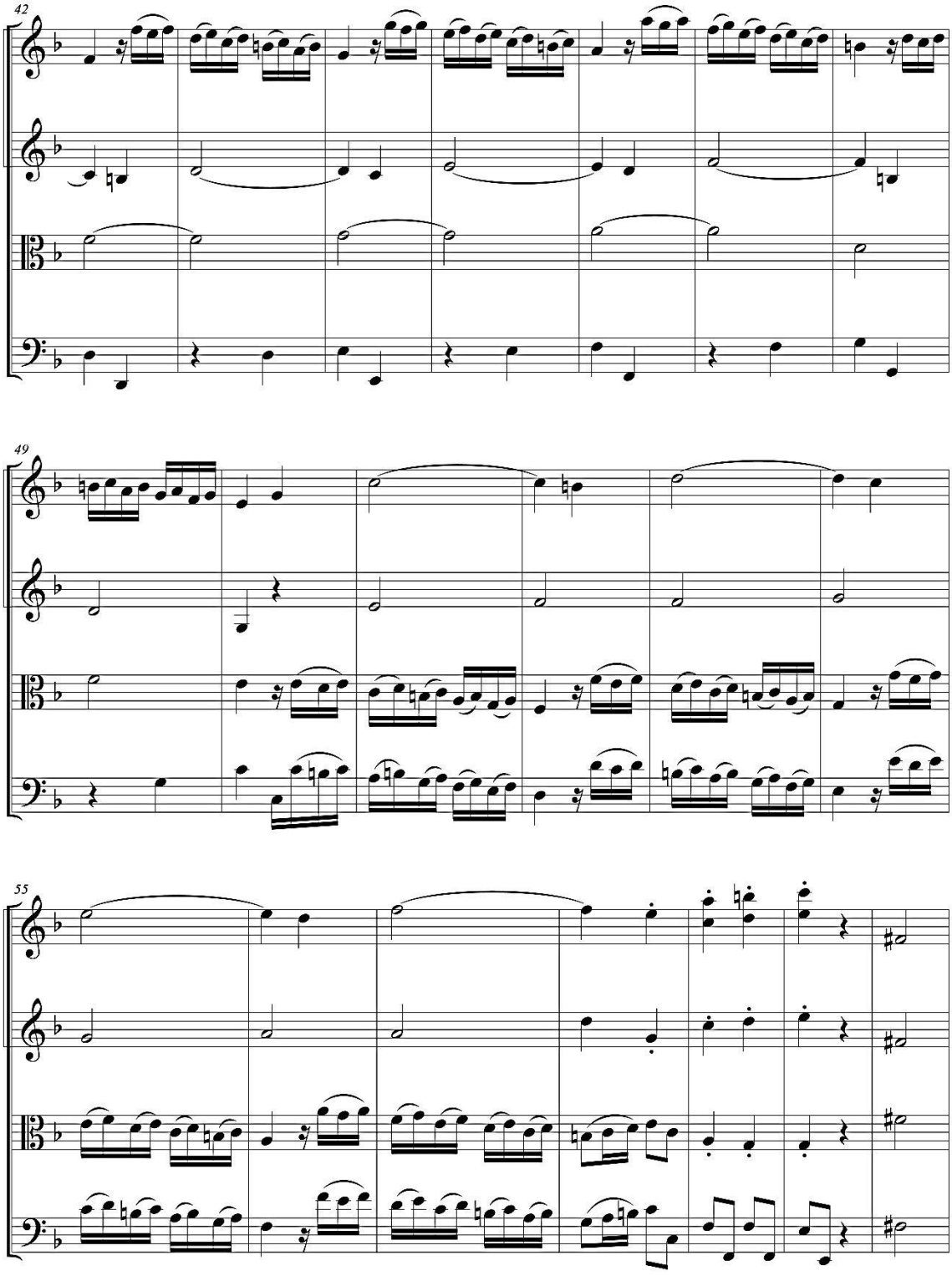


Figure 4.5, continued

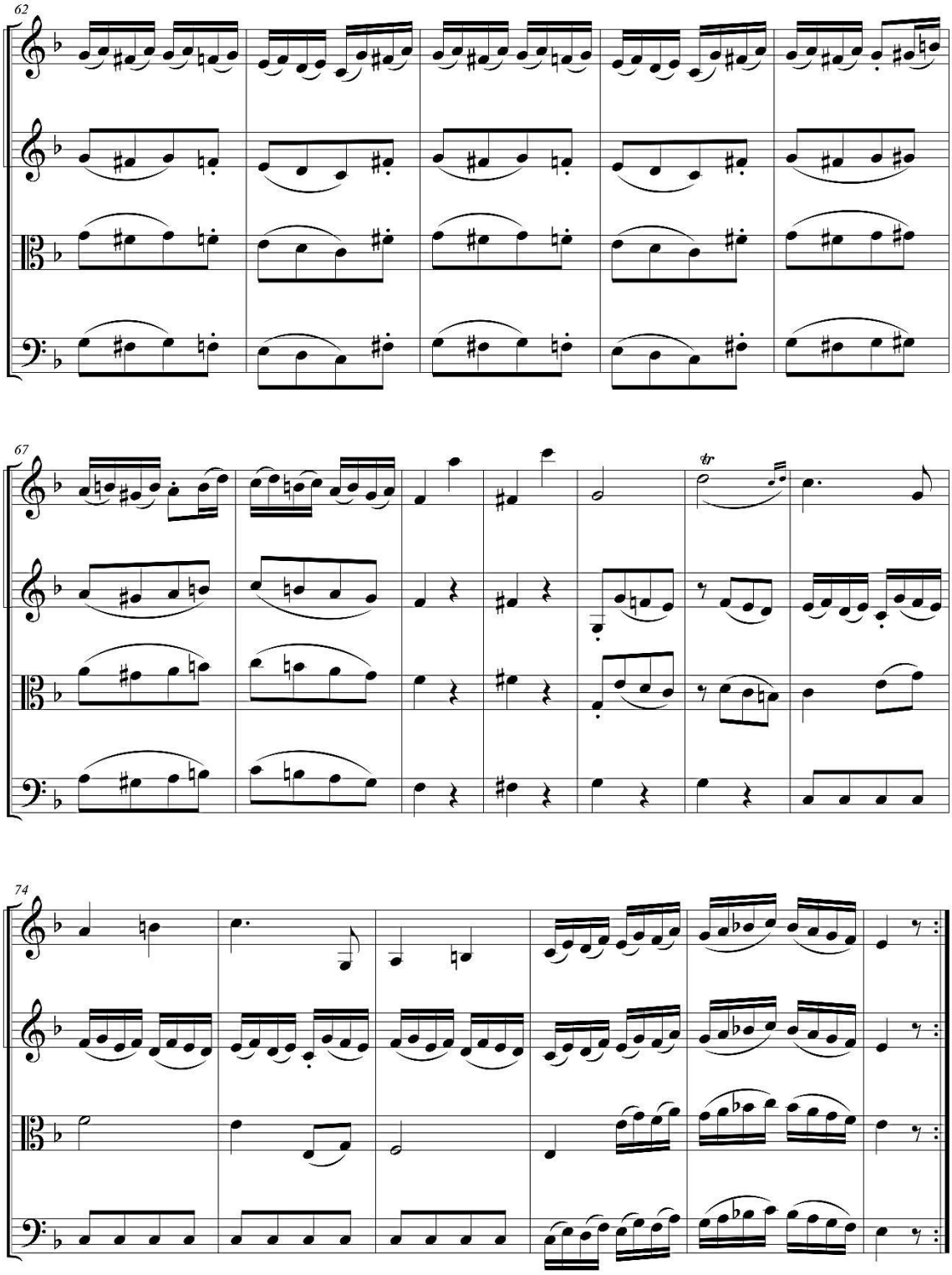


Figure 4.5, continued

The secondary theme begins with the anacrusis to m. 40 and reaches a PAC in the secondary key at m. 73. The opening portion of the secondary theme, mm. 40–60, consists of a ten-measure phrase and its repetition. This section of the secondary theme uses a motive from the first violin's melody in the transition (compare mm. 40–41 to mm. 12–13). This is only the beginning of the similarities between the secondary theme and the transition. Recalling the harmonic difficulties from the end of the transition, the opening segment of the secondary theme fails to end on anything but an inverted C major chord despite the potential for a strong PAC at mm. 50, 54, and 60. Haydn pauses after m. 60 and begins anew with a unison F-sharp after which a dominant prolongation leads to the V:PAC at m. 73. The similarities between the first portion of the secondary theme and the transition play a role in establishing the extrinsic phrase's autonomy by casting it as a separate, unrelated formal section. A brief closing section, mm. 73–79, concludes the exposition.

The extrinsic phrase from the string quartet uses many of the same techniques to separate itself from the transition and the secondary theme as the extrinsic phrase in the symphony. Like the symphony, Haydn uses a shift to a more sparse texture to highlight the extrinsic phrase here. The extrinsic phrase as a whole is less rhythmically active than the transition and the secondary theme. During the first portion of the extrinsic phrase, the second violin, viola, and cello provide a repeated eighth-note accompaniment to the first violin's half notes. The short-lived, rhythmically monotonous section leads to the dominant lock, during which voices oscillate between measures containing half-note drones on chord tones and more rhythmically active measures that decorate the dominant with various chromatic neighbors.

Like the example from the symphony, the harmony of the extrinsic phrase here plays an important role in separating the extrinsic phrase from the secondary theme. However,

Haydn's approach to the extrinsic phrase's harmony in the string quartet differs from that of the symphony. The symphony used ambiguous dyads and a sequence to obscure the secondary key following a strong I:HC medial caesura. In the string quartet, Haydn uses a weaker ending to the transition (the E-G dyad in the violins) followed by a harmony not normative to the onset of the secondary theme (V/V in the new key). This juxtaposition causes one to question whether the transition truly ended with the gap at m. 26 or if the transition continues in the following measures, leading to a later medial caesura.

As with other types of extrinsic phrases, examples of materially-contrasting extrinsic phrases follow a similar general process to achieve their independence from the rest of the exposition. Figure 4.6 summarizes the separation signals present within each of the examples above. A clear medial-caesura gap, usually coupled with a cadence that ends the transition, precedes each of the extrinsic phrases discussed above. However, the type of ending used before the medial caesura gap varies. Two of the movements, Scarlatti's Keyboard Sonata K. 420 and Haydn's Symphony no. 6, use common choices (a V:HC and I:HC, respectively). Boccherini's String Quartet, G. 213 uses a less common option, a V:IAC, at the end of its transition. The transition in Haydn's String Quartet op. 17, no. 2 also concludes with a normative harmony, but arrives on an inverted dominant (V^6) instead of a cadence.

In separating the extrinsic phrase from the secondary theme, harmony plays a crucial role. Each of the extrinsic phrases discussed here somehow avoids the harmonic expectations of a secondary theme onset. Instead of establishing the new key, materially-contrasting extrinsic phrases destabilize any sense or expectations of the key gained in the transition by including chromatic or ambiguous harmonies, tonicizations of weaker harmonies within the new key (i.e. predominants), and sequences. By replacing the tonic

harmony anticipated at the onset of the secondary theme with a chromatic harmony (as in Boccherini's G. 213 and Haydn's op. 17, no. 2) or an incomplete, ambiguous harmony (as in Haydn's Symphony no. 6), the extrinsic phrase defies these expectations.

	G. 213	K. 420	SYM. NO. 6	OP. 17, NO. 2
ENDINGS	●	○	○	○
TONALITY/MODALITY				
HARMONY	●	●	●	●
MELODY	○		○	●
RHYTHM	○			○
PHRASE STRUCTURE		●		
DYNAMICS	●	N/A	●	●
TEXTURE	●		●	●
ORCHESTRATION			●	

○ = SEPARATION; ● = STRONG SEPARATION

Figure 4.6 Comparison of Contrasting Extrinsic Phrases

Three of the four extrinsic phrases analyzed above included a sequence. Each employs the same interval of transposition, the descending second. Although not mandatory for contrasting extrinsic phrases, descending seconds sequences form a harmonically shrewd and stylistically motivated choice for a composer looking to obscure a key. From a purely harmonic standpoint, a descending seconds sequence naturally avoids any key-defining motion from the dominant to the tonic. In terms of style, the extrinsic phrases in

Boccherini's G. 213 and Haydn's Symphony No. 6 are modeled after a *fonte* progression.[27] The extrinsic phrase from Scaraltti's K. 420 uses a four-chord model instead of a two-chord model and is therefore not related to the *fonte*.

Changes in various other domains at the beginning of the extrinsic phrase support the its separation from the transition and the secondary theme. With the exception of Scarlatti's keyboard sonata, all of the extrinsic phrases here include a drop in dynamic level at their onset, from *forte* (or louder) to *piano*. Changes in melody or melodic motive also accompany the beginning of the extrinsic phrase, as do changes in texture and orchestration in the movement. The end of the extrinsic phrase simply reverses what occurs at the beginning of the extrinsic phrase: *piano* dynamics within the extrinsic phrase become *forte* at the onset of the secondary theme, sparser textures become full again, and, in the case of the symphony, the secondary theme reverts back to the *tutti* orchestration heard during the transition. Other domains, especially melody and rhythm, feature new material.

Supporting Extrinsic Phrases

The final group of extrinsic phrases discussed here, supporting extrinsic phrases, follows weak or problematic medial caesuras. In terms of function, these extrinsic phrases differ from the other three functions discussed thus far. The other types of extrinsic phrases follow clear transitions and medial caesuras. Each adds an element to an exposition: materially-contrasting and modally-contrasting extrinsic phrases add an unexpected contrast at the exposition's midpoint; modulating extrinsic phrases add an additional change in key beyond the one affected by the transition. In each of these instances, the extrinsic phrase interrupts an otherwise-normative exposition. Supporting extrinsic phrases on the other

[27] The *fonte* progression from Haydn's symphony represents an altered version of the traditional *fonte*. For further discussion of the *fonte* progression and its use in mid-eighteenth century works see Robert O. Gjerdingen, "The Fonte," Chap. 4 in *Music in the Galant Style*, (New York: Oxford University Press, 2007).

hand, occur in expositions that already contain non-normative (weak, problematic) elements. Instead of creating an unexpected turn of events at an exposition's midpoint, they support the continuation of the exposition following such an event. In this way, supporting extrinsic phrases come close to losing their "extrinsic" status. However, as shown in the examples below, supporting extrinsic phrases still act as a non-normative addition to an exposition and, though it might weaken the exposition's midpoint, the form would remain coherent without them.

The three examples of supporting extrinsic phrases below all come from Boccherini's earliest set of string quartets, the Six String Quartets, op. 2, composed in 1761. The three movements, the second movements of the String Quartet in C Minor, op. 2, no. 1, G. 159, the String Quartet in E Major, op. 2, no. 5, G. 163, and the String Quartet in D Major, op. 2, no. 3, G. 161 all use a Type 2 sonata form. Each employs a supporting extrinsic phrase. Two of these extrinsic phrases, the examples from G. 159 and G. 163, occur under similar circumstances, while the extrinsic phrase from G. 161 exemplifies a somewhat different situation. Unlike previous analyses, the discussion of supporting extrinsic phrases includes an examination of each movement's second rotation. Although each differs from any other, Boccherini's choices during the second rotation of each movement further confirms the respective extrinsic phrase's function within the exposition.

Because supporting extrinsic phrases normalize a weak or problematic event within an exposition, they occur in the secondary key and, unlike the materially-contrasting extrinsic phrases discussed in the previous section, contain no prominent uses of chromatic harmony or non-normative harmonic syntax. Instead, supporting extrinsic phrases differentiate themselves from their surroundings by encompassing harmonically stable, but normatively

dependent structures (e.g. a standing on the dominant) and through the circumstances of their use in the exposition and later rotations.

Like other types of extrinsic phrases, supporting extrinsic phrases share some common features of their use in an exposition.[28] Unlike other types of extrinsic phrases, however, these similarities begin long before the arrival of the extrinsic phrase. Expositions that include supporting extrinsic phrases contain weak or problematic medial caesuras. Although retrospectively these successfully divide an exposition into two parts, at the point of their arrival in these movements the exposition's future and even the role the medial caesura plays in the form seems uncertain. In some cases, the preceding transition proves unable to express its function as such, meaning the arrival of the transition's final cadence and the medial caesura seems sudden. If the transition ends with a half cadence in the tonic, as occurs in one of the examples below, the medial caesura cadence and gap could, at least momentarily, be mistaken for the end of the primary theme. In other situations, the first half of the exposition diverges from its tonal path, i.e. establishing tonic and then destabilizing that key (and/or modulating) as part of the process of reaching the secondary key. Although the movement may articulate a clear medial caesura cadence and gap in these situations, the divergence from the exposition's expected tonal path creates uncertainty about whether or not the second half of the exposition will continue in a normative fashion—especially if the tonal divergence continues through the end of the transition.

The extrinsic phrases from G. 159 and G. 163 exemplify the first of the two situations described above. Each feature a transition so closely modeled on the primary theme that it fails to establish itself as an independent section with a different function until

[28] As shown in the examples discussed below, the use of supporting extrinsic phrases in later rotations, though it often informs one's understanding of the supporting extrinsic phrase in the exposition, varies form movement to movement.

its conclusion. In G. 159, the half cadence in the dominant (V:HC) and the caesura that accompanies it comes as a surprise; in G. 163, the transition ends with a half cadence in the tonic (I:HC), creating a strong possibility that the medial caesura's function might not be recognized. In both of these movements, the extrinsic phrase prolongs the dominant in order to emphasize and bring recognition to the change of key that takes place at the end of the transition. The final movement examined here, from G. 161, contains two extrinsic phrases arranged into a single longer section. This presents an instance of the second situation described above. The extrinsic phrases respond to a non-normative shift to the minor mode that occurs during the primary theme and transition. This creates a variety of potential candidates for the secondary key that depend on whether or not the movement's sudden minor-mode trajectory continues beyond the first half of the exposition.

Naturally, differences between the internal structures of these extrinsic phrases, particularly between those in G. 159 and G. 163 and those in G. 161, means that current systems of analysis might consider these examples of two or more different formal structures (likely with different functions). As with other types of extrinsic phrases discussed here, this creates problems for any attempts to understand the early- and mid-eighteenth-century style which this forms a part of. As with materially-contrasting extrinsic phrases, there is a strong temptation to analyze supporting extrinsic phrases as part of the secondary theme.[29] Classifying them as such, however, ignores the role they play in the exposition and the reasons for their use in the first place. Although outliers in the way they separate themselves from the other portions of the exposition, supporting extrinsic phrases form an important part of the larger compositional practice of employing extrinsic phrases. Any understanding

[29] Here, one could argue that the temptation is even stronger: whereas contrasting extrinsic phrases contained non-normative harmonies or harmonic syntax that separated them from the secondary theme, supporting extrinsic phrases, contain no such anomalies.

of the early- and mid-eighteenth-century style must necessarily recognize and include this and other types of extrinsic phrases.

Boccherini, String Quartet, G. 159

The second movement of Boccherini's String Quartet in C Minor, G. 159 provides an initial example of an extrinsic phrase that supports a weak medial caesura following a problematic transition. Figure 4.7 provides the score of the seventy-five measure movement. During the exposition, similarities between the primary theme and transition create uncertainty regarding the latter's function. Because of this, the transition fails to adequately prepare for the medial caesura and, by extension, the secondary key. A brief extrinsic phrase responds to this by prolonging the dominant of the secondary key before the onset of the secondary theme. Although it occurs in the secondary key, the extrinsic phrase comprises an unstable dominant prolongation incapable of initiating the secondary theme. The extrinsic phrase returns in the second rotation in somewhat different circumstances.

The primary theme, mm. 1–8, and the transition, mm. 9–16, use the same melody—it appears in the cello during the primary theme and in the first violin during the transition. The primary theme establishes the tonic, E-flat major, but concludes on a second-inversion dominant triad (n.b. not a cadential six-four).[30] The repetition of the primary theme's melody in mm. 9–16 makes the function of the transition difficult, if not impossible, to discern before the V:HC that concludes it. Partial repetitions of primary theme material that become chromatic or diverge into new material are a common strategy in sonata-form transitions.[31]

[30] Up to this point in the primary theme, the viola has played the role of the bass voice and the cello sounds the melody. Despite the cello's melody descending below the viola, one still intuits that these instruments play their original roles. The voice leading of m. 8 reinforces this: the second violin and cello descend against a held B-flat in the viola, creating a jumbled progression (in terms of voice position) from a cadential six-four to the dominant.

[31] Both Hepokoski and Darcy as well as Caplin discuss this possibility. See Hepokoski and Darcy, *Elements*, 101–05 and Caplin, *Classical Form*, 127–29.

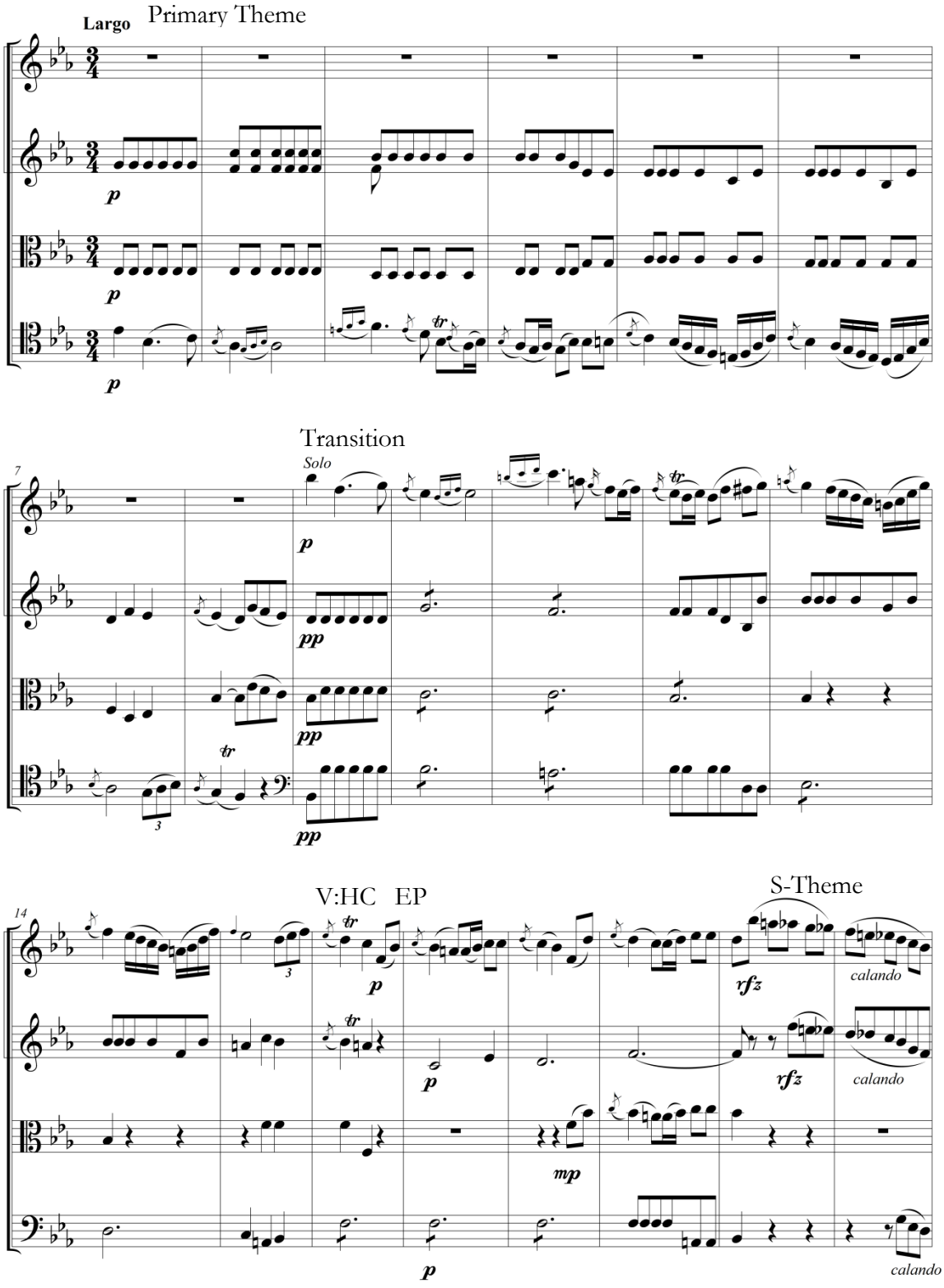


Figure 4.7 Boccherini, String Quartet in E-flat Major, G. 159

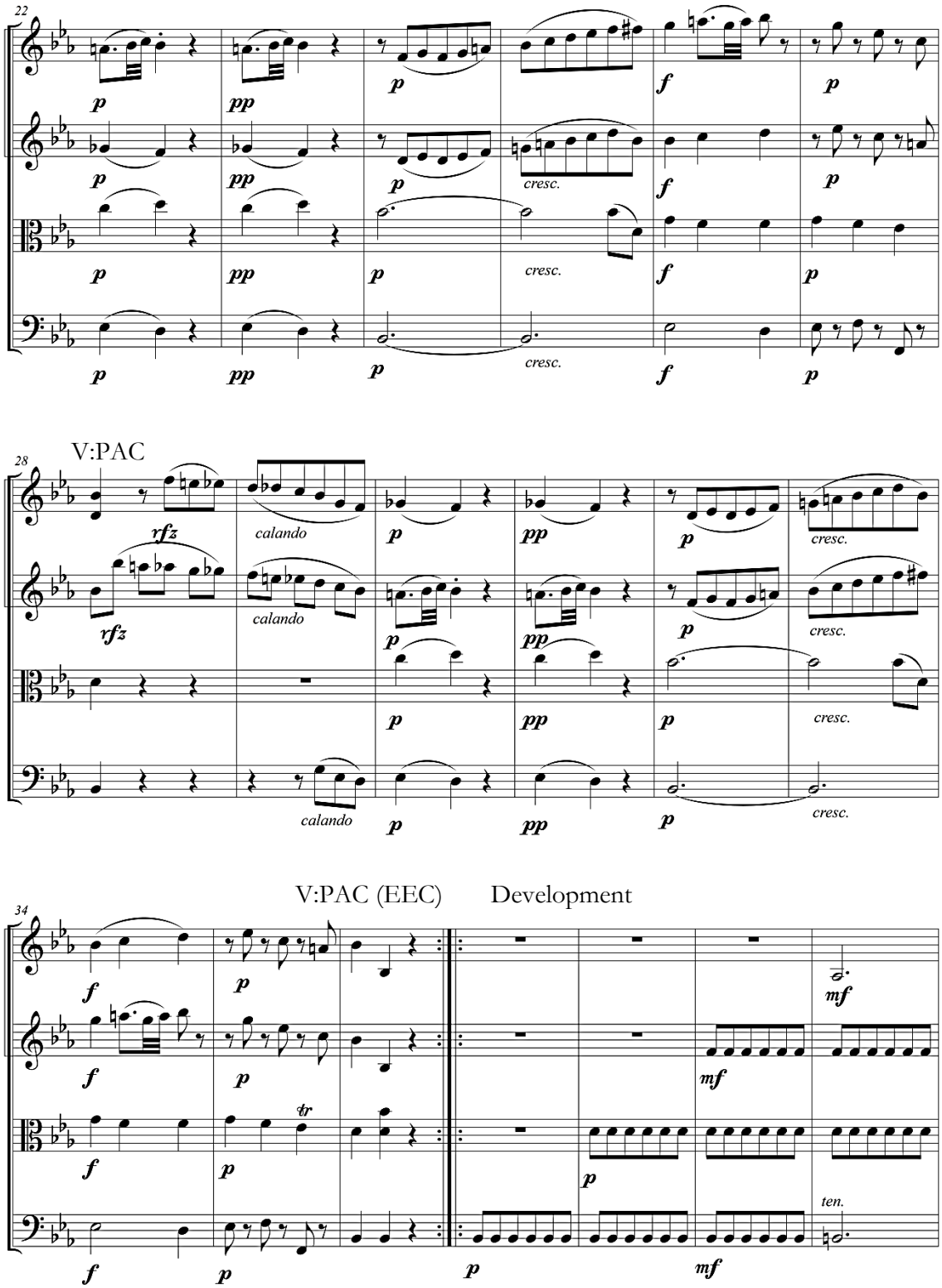
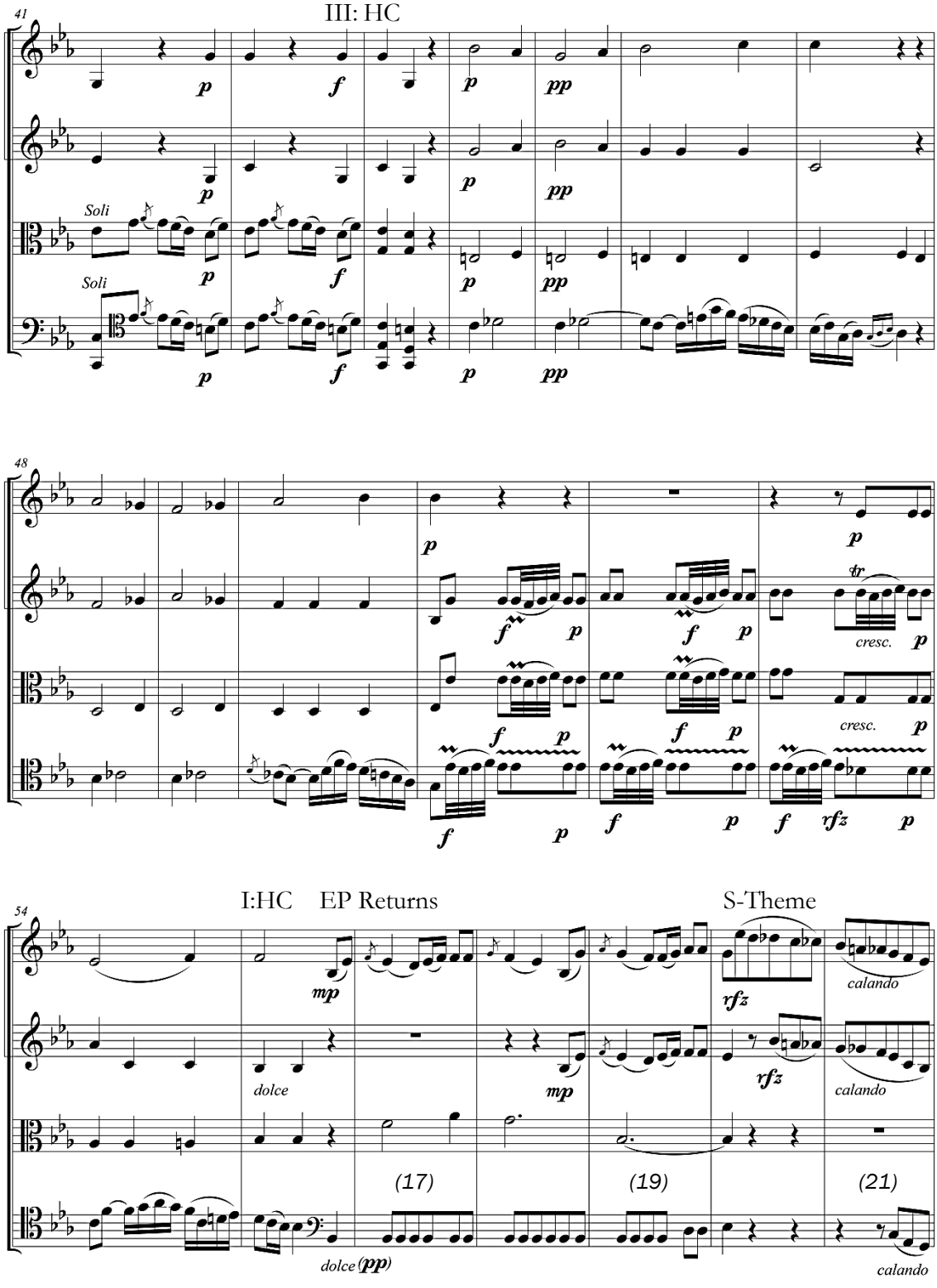


Figure 4.7, continued



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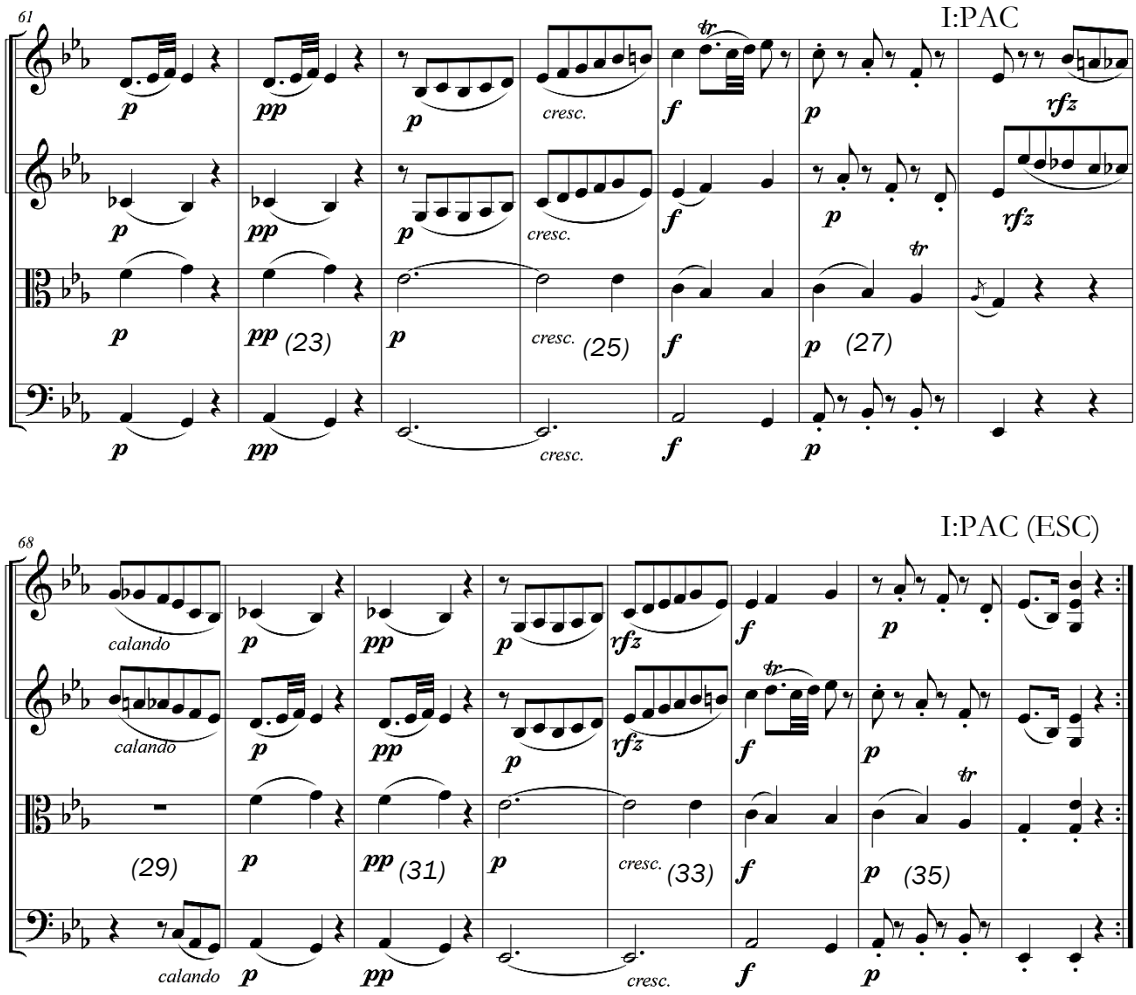

Figure 4.7, continued

The complete repetition of material here, however, fails to diverge from the primary theme, giving the impression that mm. 9–16 form a continuation of the primary theme. The V:HC at m. 16 comes as a surprise and, despite the medial caesura that follows, is unable to create the expectation that secondary theme will begin subsequently. This leaves the function of mm. 9–16 ambiguous at this point.

The extrinsic phrase, mm. 17–20, responds to the transition's inability to communicate its own function and the consequential lack of preparation for the secondary

key. The prolongation of the dominant within these measures prepares the new key by emphasizing it after the abrupt (surprise) ending to the transition. The extrinsic phrase also creates a temporal space between the transition and the secondary theme within which one begins to understand mm. 9–16 as the transition and not a continuation of the extrinsic phrase. Most of the extrinsic phrase oscillates between the dominant and a cadential six-four until the final beat of m. 19, when the bass line descends to an A-natural, inverting the dominant before the tonic's arrival in the next bar. The onset of the secondary theme coincides with the arrival of the secondary key's tonic. The secondary theme, mm. 20–36, consists of a repeated nine-bar phrase that ends with a PAC in the secondary key.

The process of separating the extrinsic phrase from the transition depends on some elements within the extrinsic phrase itself but, unlike previous examples, the surrounding sections—i.e. the transition and secondary theme—play the main role in establishing the extrinsic phrase's independence.[32] The phrase structures of the transition and the secondary theme impact the extrinsic phrase's autonomy in the greatest manner. Although the transition's near-exact repetition of the primary theme obscures its function, this repetition creates a clear grouping that excludes the extrinsic phrase. The change in key that concludes the transition and the subsequent prolongation of the dominant of that new key also strongly implies that the extrinsic phrase forms a new functional section. After the extrinsic phrase, the use of a repeated phrase structure for the secondary theme creates a self-contained unit that excludes the preceding section.

Movements with supporting extrinsic phrases, especially those that follow transitions that for one reason or another do not satisfactorily express their function, rarely include strong conclusions to the transition or the extrinsic phrase. Often, the nature of the extrinsic

[32] A summary of the separation signals used in this movement may be found in Appendix A, Figure A.12.

phrase's function and the problems surround the transition's function prevents a strong ending from occurring before it. Because this extrinsic phrase encompasses a standing on the dominant, it conclusion avoids articulating a cadence. Much like the modally-contrasting extrinsic phrases form Scarlatti's K. 420 or Haydn's String Quartet op. 1, no. 2, the onset of the secondary theme signals the end of the extrinsic phrase here.

The extrinsic phrase's avoidance of clear characteristics of the transition or secondary theme also separates it from those sections. Although it is not uncommon for transitions to feature prolongations of the dominant, the one encompassed by the extrinsic phrase here occurs after the break in texture that forms the medial caesura (which by definition acts as the end of the transition). If one argues that the transition extends beyond this textural break through what I call the extrinsic phrase, one must find a convincing way of explaining the changes in melody, rhythm, texture, and dynamics that coincide with the beginning of the extrinsic phrase. Problems also arise if one attempts to attach the extrinsic phrase to the secondary theme. One expects the onset of the secondary theme to establish the secondary key by prolonging that key's tonic chord or articulating a normative harmonic progression in the key. The extrinsic phrase does neither. Instead, it prolongs the dominant, creating a preparatory gesture before the secondary theme, but not part of the theme itself.

The extrinsic phrase returns during the second rotation, but functions in a different manner than in the exposition. The second rotation begins with the development at m. 37. Following a brief reference to the primary theme in mm. 41–42, newly composed material leads to a strong half cadence in the tonic at m. 55 that concludes the development. The extrinsic phrase returns transposed to the tonic in mm. 56–59, followed by the secondary theme in mm. 59–75. The inclusion of a clear retransition in mm. 43–55 changes the function of the extrinsic phrase.

The treatment of the extrinsic phrase during the second rotation here is similar to its treatment in other movements by Boccherini, including his String Trio, G. 79 (analyzed in the section discussing modally-contrasting extrinsic phrases in Chapter 3). There, the extrinsic phrase also returned during the second rotation, transposed to the appropriate key. Because of its familiarity from the exposition, the return of the extrinsic phrase in both movements seems more normative than its first appearance. The use of a retransition composed of new material that makes its function clear before the I:HC that ends it means that the supporting extrinsic phrase in G. 159 is no longer responding to any problems or ambiguity from the first half of the rotation. Instead, it acts as a landmark within the referential rotation (i.e. the exposition) that allows the second rotation to reorient itself following the limited references to the primary theme and transition that occurred in its first half.

Boccherini, String Quartet, G. 163

The second movement of Boccherini's String Quartet in E Major, op. 2, no. 5, G. 163 uses an extrinsic phrase similar to that which occurred in G. 159 during its exposition. However, it transforms this extrinsic phrase into a retransition more than twice its original length during the second rotation. Figure 4.8 provides the score to the movement. The exposition begins with a fused primary theme and transposition in mm. 1–8. The phrase begins with a tonic prolongation occurs in mm. 1–4 while mm. 5–8 exhibits greater harmonic motion. The passage ends with a I:HC followed by a gap in all voices. As in Boccherini's G. 159, limited evidence of a transitional function occurs before the phrase's conclusion and the dual functions of mm. 1–8 only become clear in retrospect. This creates an abrupt ending to the first half of the exposition to which the extrinsic phrase responds.

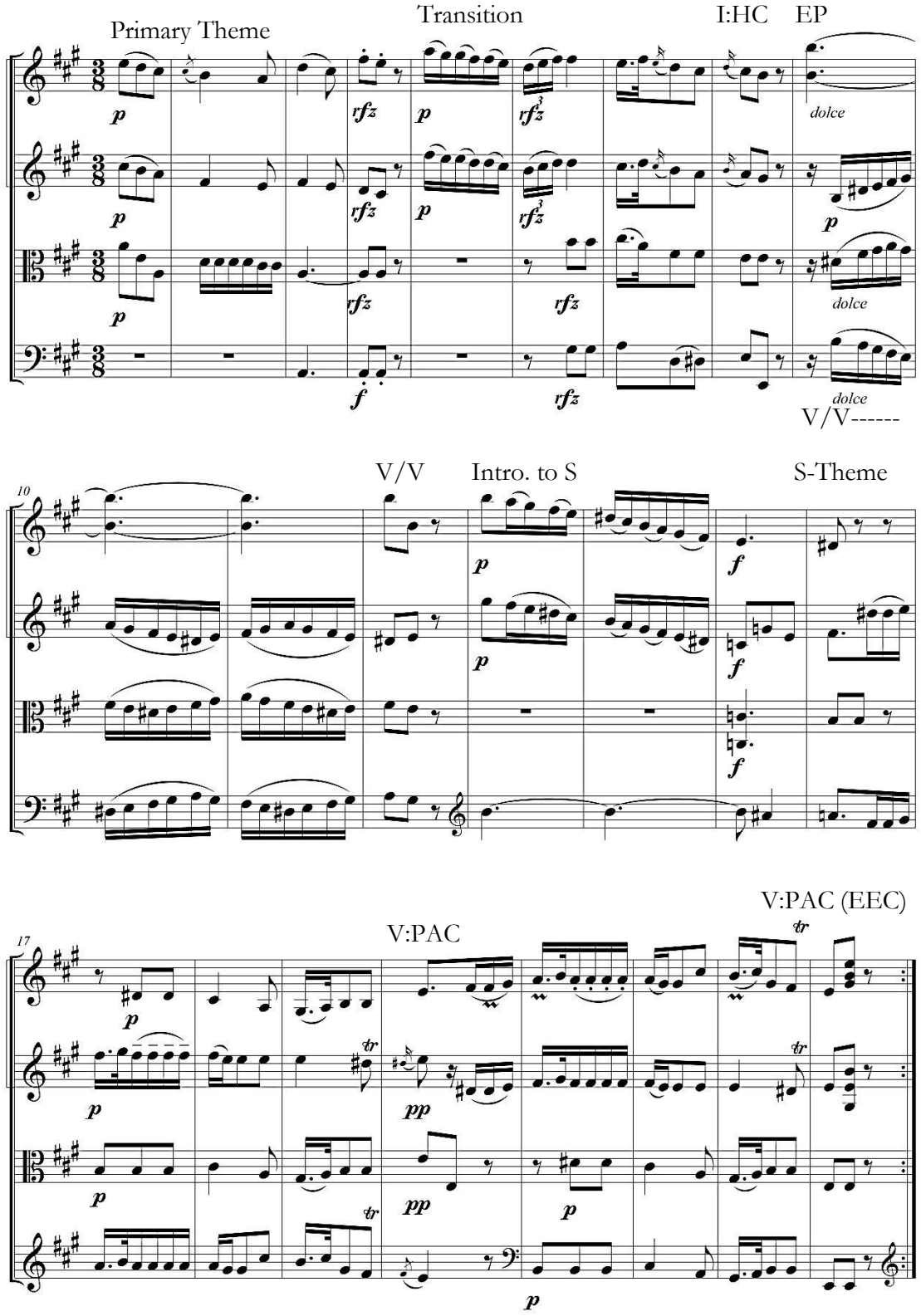

Figure 4.8 Boccherini, String Quartet in A Major, G. 163, ii

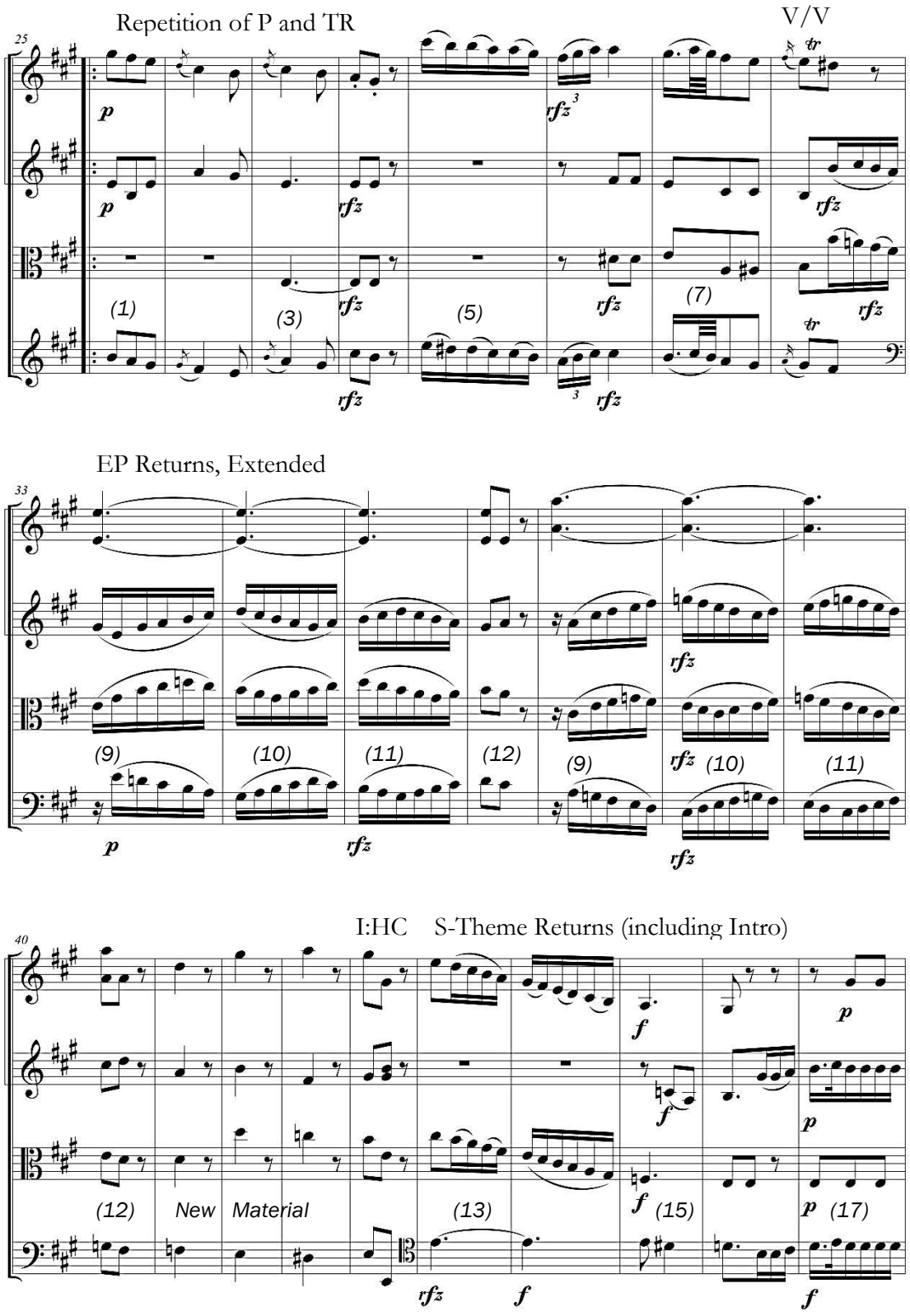

Figure 4.8, continued

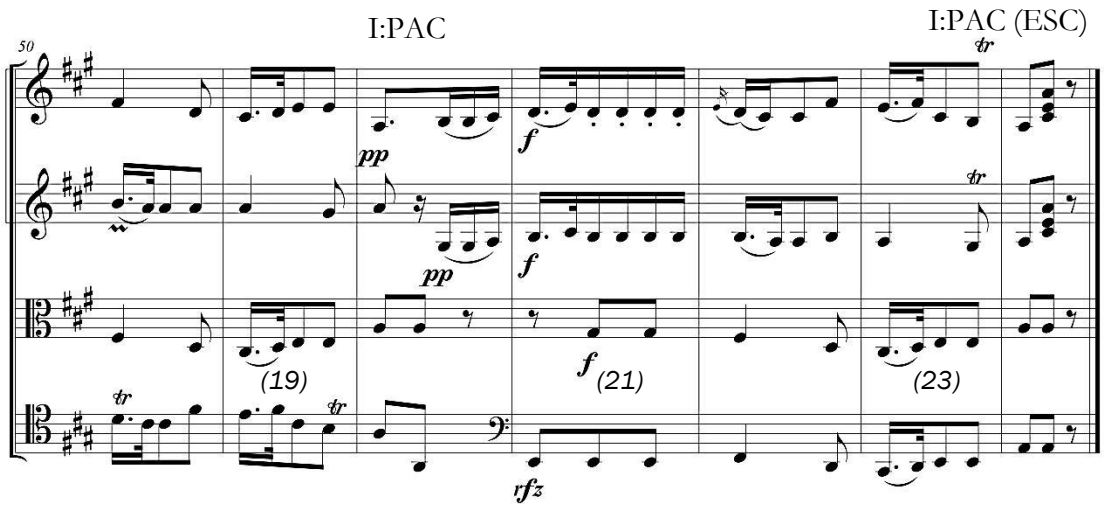

Figure 4.8, continued

The extrinsic phrase, mm. 9–12, prolongs the dominant of the secondary key, E major. The extrinsic phrase ends with a V:IAC in m. 12 followed by a gap in all voices. Koch addresses this harmonic construction specifically as an alternative way to end a phrase. He describes a phrase ending wherein "instead of the root of the triad, the third of [the chord] has been placed at the caesura not of the phrase [i.e. in the bass], and the phrase-ending thus has been formed with a six-chord."[33] The secondary theme zone begins with mm. 13–15, which form an introduction to the secondary theme, a repeated phrase in mm. 16–24. This secondary theme zone presents a construction different from other examples discussed here. The secondary theme's introduction includes a cadential six-four and an applied seventh chord, both labeled on the score, which leads to the dominant of the secondary key.

Before continuing, my decision to include the harmonically less normative mm. 13–15 as part of the secondary theme deserves some explanation. Most importantly, harmonic syntax at this juncture clearly relates the cadential six-four that begins at m. 13 to the

[33] See Heinrich Christoph Koch, *Introductory Essay on Composition: The Mechanical Rules of Melody, Sections 3 and 4,* trans. Nancy Kovaleff Baker (New Haven: Yale University Press, 1983), 37, especially Example 112.

dominant at the onset of the secondary theme. The cello's shift in register from mm. 12 to 13 affects a separation between those measures and, because it remains in that higher register until m. 21, ties mm. 13–15 to the secondary theme. Finally, though the secondary theme includes an introduction, its use of a repeated phrase differentiates that section, and by extension its introduction, from the extrinsic phrase.

As in G. 159, the transition in this example fails to express its function in a recognizable way, leading to a delayed understanding of the exposition's progress towards its eventual tonal goal (i.e. the modulation to and confirmation of the secondary key). In the String Quartet G. 159, the transition's final cadence, a V:HC, signaled that a modulation had taken place and immediately led to the realization that the preceding phrase acted not as the second half of the primary theme, but as the transition. In this quartet, G. 163, the fusion of the primary theme and transition, coupled with the I:HC that precedes the extrinsic phrase delays the recognition of the transition's function beyond its final cadence in m. 8 to the onset of the secondary theme. The transition's function is not innate, but emerges from the circumstances of the exposition. The whole of mm. 1–8 might best be understood through Janet Schmalfeldt's idea of "becoming."[34] Here, mm. 4–8 become the transition only when one understands their surroundings.

The transition's separation from the extrinsic phrase occurs in two parts.[35] Syntactically, the I:HC and gap at m. 8 close the opening phrase of the movement and introduces what follows (the extrinsic phrase) as a new section of the exposition. Functionally, the extrinsic phrase becomes independent from the transition only when the transition's own function becomes recognizable. This occurs around the end of the extrinsic

[34] See Janet Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspective on Form in Early Nineteenth-Century Music*, (New York: Oxford University Press, 2011).
[35] Figure A.13 in Appendix A provides a summary of the separation signals used in this movement.

phrase and the beginning of the secondary theme. The weak cadential ending coupled with the lack of harmonic motion in mm. 9–12, suggests that these measures act as an extrinsic phrase, not as the transition. Once the extrinsic phrase's function is recognized, the I:HC and gap at m. 8 are retrospectively reinterpreted as the medial caesura cadence and gap, leaving the measures that precede them as a fused primary theme and transition.

The extrinsic phrase's independence from the secondary theme is supported by the extrinsic phrase's harmony compared with expectations of a secondary theme onset as well as the events of the second rotation. Harmonically, one expects the onset of a secondary theme to prolong the tonic of the new key. This provides the secondary theme with a stable opening and affirms the change of key prepared by the medial caesura. The extrinsic phrase here prolongs the dominant of the secondary key.

The return of the extrinsic phrase and secondary theme during the second rotation reinforces the extrinsic phrase's autonomy, particularly from the secondary theme. Unlike previous examples, Boccherini repeats the exposition almost measure-for-measure during the second rotation. Figure 4.8 labels the correspondence measures between the two. Measures 1–8 return in their entirety in mm. 25–32, transposed to the dominant. Instead of altering this repetition to conclude in the tonic, Boccherini ends the passage with a V:HC in m. 32. He then alters the return of the extrinsic phrase and adds new material in mm. 33–44 to return to the tonic before the onset of the secondary theme zone at m. 45.

The extrinsic phrase now consists of three separate sections: the original extrinsic phrase, its repetition, and an additional section that affects the return to tonic. The initial statement of the extrinsic phrase, mm. 33–36, occurs in the tonic key. The repetition of the extrinsic phrase, mm. 37–40, transposes those measures to tonicize the subdominant. This creates a problem that mm. 41–44, the new material, solves by leading to a I:HC in mm. 44.

Interestingly, the initial repetition of the extrinsic phrase concludes on a first inversion A-major chord, allowing it to potentially act as a retransition on its own. The expansion of the extrinsic phrase into a larger section despite this signals that this section becomes part of the development and that the second rotation requires a stronger cadence to act as the medial caesura than the weak cadence that concludes the extrinsic phrase. Per the former, until the additions to the extrinsic phrase, the development portion of the second rotation only repeats a transposed version of the exposition. The additions to the extrinsic phrase lead to a cadence (the I:HC) using a root position dominant as opposed to the V:IAC with an inverted tonic that concludes the original extrinsic phrase. This conclusion prepares for the onset of the secondary theme zone in a clearer, strong manner than occurred in the exposition.

The events of the second rotation confirm the interpretation of the exposition. The return of the introduction to the secondary theme, originally mm. 13–15, as part of the tonal resolution, further reinforces their separation from the extrinsic phrase. The return of the extrinsic phrase and its expansion into a retransition affirms the extrinsic phrase's autonomy during the exposition both as a self-contained section of the music and as a functional section separate from the transition and the secondary theme. Because of the cadence and gap at m. 12 during the exposition, some might question why the extrinsic phrase there would not be considered all or part of the transition. By avoiding using the cadence that ends the extrinsic phrase before the onset of the tonal resolution during the second rotation, Boccherini makes it clear that the weak cadence that ends the extrinsic phrase cannot act as

the medial caesura cadence. For that, he uses the more normative option, the half cadence in the home key at m. 8.[36]

In G. 163, the extrinsic phrase's function changes from its appearance in the exposition to its return during the second rotation. During the exposition, the extrinsic phrase responds to problems with the transition—specifically the transition's lack of characteristics signaling its function as such. The extrinsic phrase prolongs the dominant before the onset of the secondary theme zone, effectively preparing for the exposition's change in key after the fact. During the second rotation, Boccherini transforms the extrinsic phrase into a longer retransition, creating a passage three times longer than the original extrinsic phrase from the exposition.

Boccherini, String Quartet, G. 161

The final example of this group, the second movement of Boccherini's String Quartet in D Major, op. 2, no. 3, G. 161, destabilizes its primary theme and transition in a different manner than the other two examples. Figure 4.9 provides the score to the movement. In addition to avoiding a clear break between the primary theme and transition, this movement features a non-normative shift in mode during the primary theme to the minor tonic, G minor. The transition continues in G minor, leaving the exposition unprepared for the secondary theme, which occurs in the (major) dominant, D major. The extrinsic phrase responds to the confusion brought on by the primary theme and prepares for the secondary theme. Unlike the other two examples, the second rotation in this movement omits the extrinsic phrase.

[36] This is not to say that IACs cannot act as medial caesura cadences. The second movement of Pugnani's Sonata for Two Violins op. 1, no. 3 included a V:IAC medial caesura cadence. However, neither of those movements includes an inverted chord at the end of the cadence.

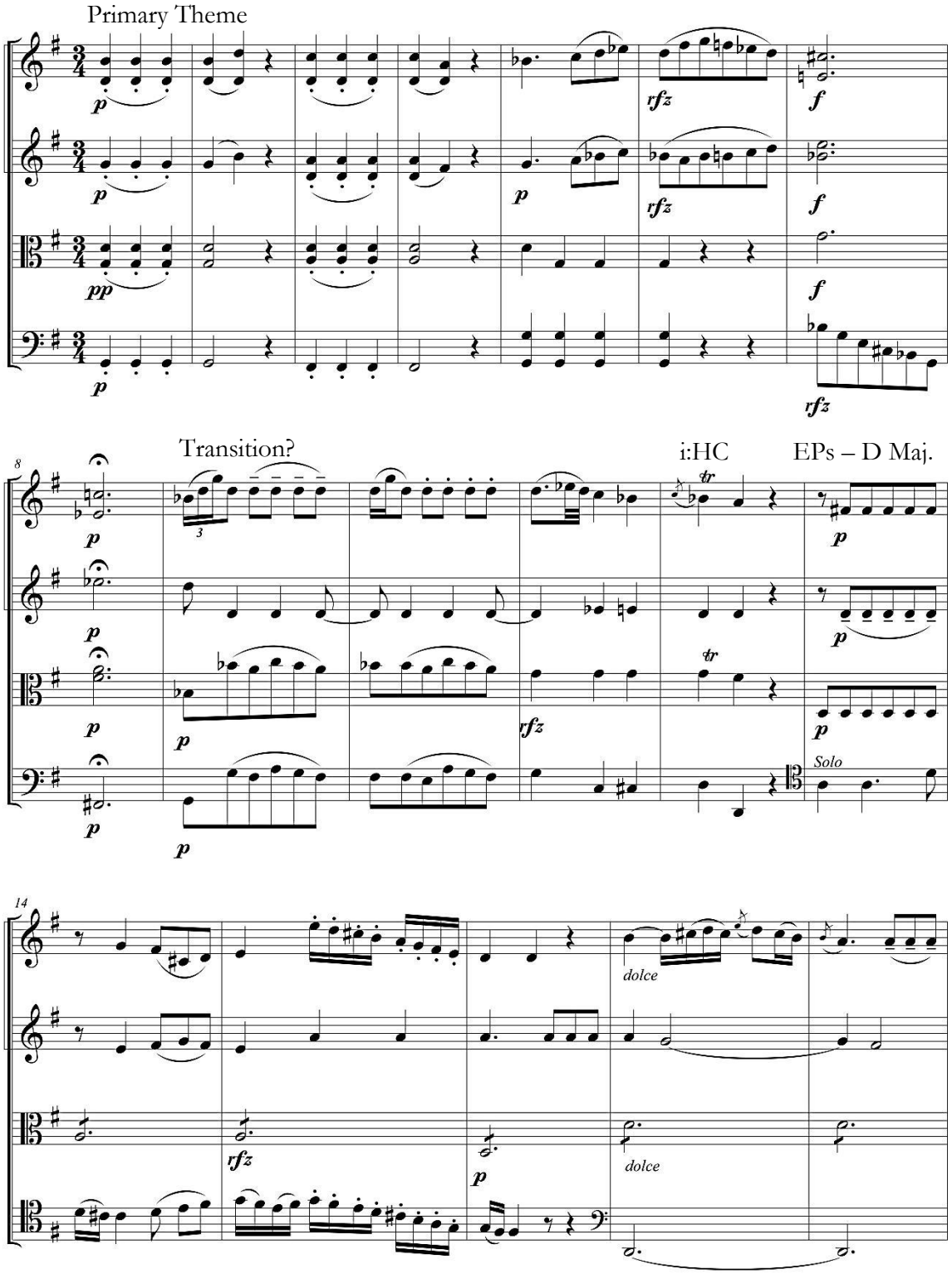

Figure 4.9 Boccherini, String Quartet G. 161, ii

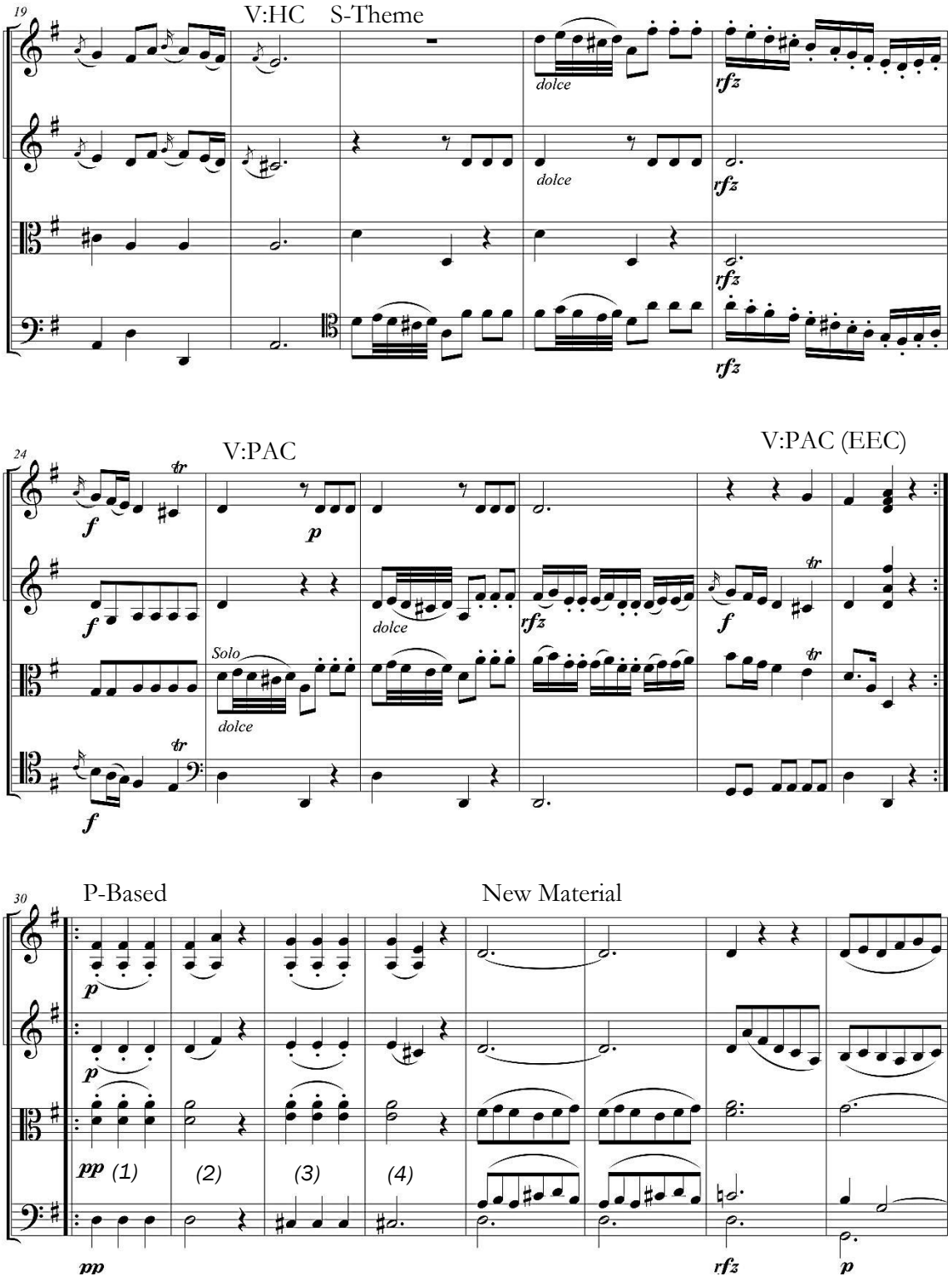

Figure 4.9, continued

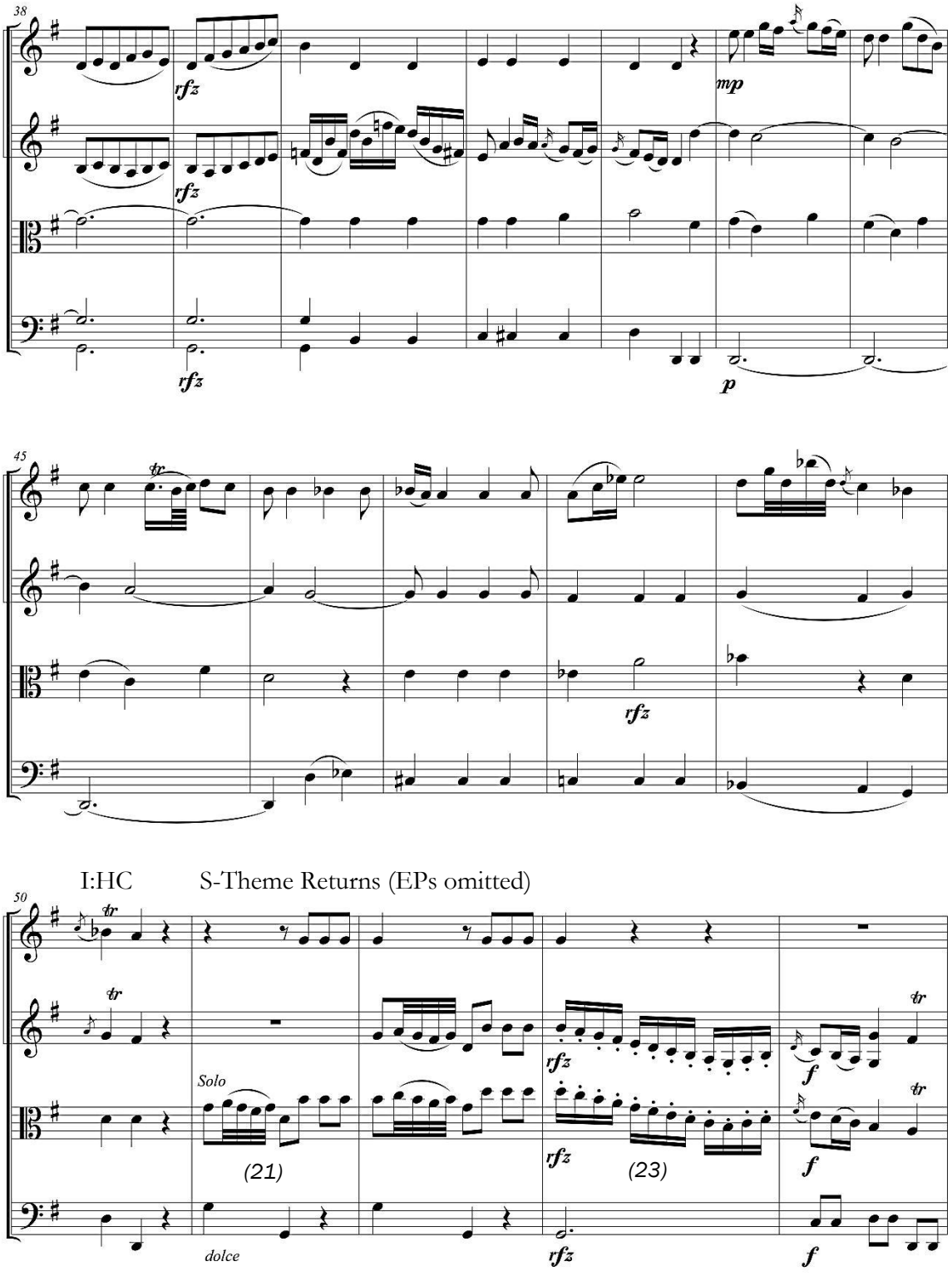

Figure 4.9, continued

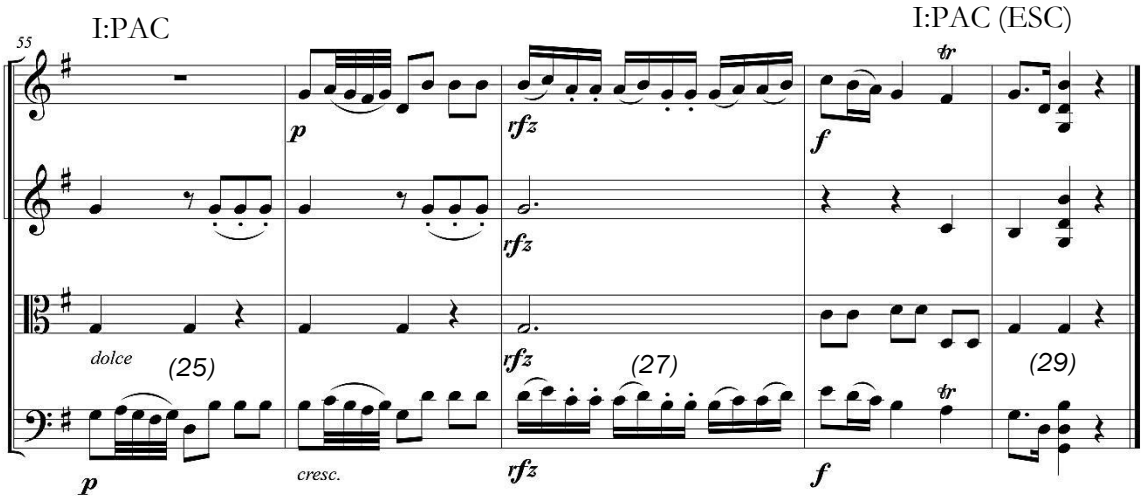

Figure 4.9, continued

The first half of the exposition, i.e. the primary theme and transition, occupies mm. 1–12. Unlike the fused primary theme and transition from G. 163, the passage here avoids a clear division between the two functions. The exposition begins normatively, with tonic-to-dominant motion in mm. 1–4 that seems to encompass the first half of a sentence structure (a basic idea and its repetition). A third repetition of the exposition's opening idea introduces the minor tonic triad in m. 5. The idea leads to new material, accentuated by a *rinzforzando* in m. 6. The passage momentarily rests on the second of two fully-diminished seventh chords in m. 8 (the latter having the leading tone, F-sharp, as its root). Measures 9–12 continue in the minor tonic and lead to the articulation of a strong cadence in that key. An octave drop in the bass and trills in the first violin and viola emphasize this cadence. A gap in all voices, the medial caesura, follows. Although the medial caesura signals an impending change in key, the identity of that key remains uncertain. The motion to the tonic minor opens up possibilities beyond the major dominant (D major), namely the mediant (B-flat major) and the minor dominant (D minor). These latter two keys form the more likely options at this

point given the persistence of the minor tonic throughout the transition and at the medial caesura cadence.

Instead of continuing immediately to the secondary theme, Boccherini includes a set of extrinsic phrases in mm. 13–20.[37] The first extrinsic phrase, mm. 13–16, places the melody in the cello, which differentiates that section from the primary theme and transition in terms of orchestration. This phrase concludes with a V:IAC in m. 16. The second extrinsic phrase, mm. 17–20, moves the melody to the first violin and concludes with a half cadence in the dominant. The secondary theme, a repeated four-bar phrase, follows in mm. 21–29 and concludes the exposition with a V:PAC. This continuation makes the major dominant the clear choice for the secondary theme, affecting a return to the normative tonal trajectory for the sonata form. The use of a repeated phrase structure for the secondary theme also separates this section of the exposition from the extrinsic phrase.

The extrinsic phrase's use of complete phrase structures and its secondary-theme-like characteristics cause the second rotation to avoid it. Neither the extrinsic phrases from Boccherini's G. 159 nor G. 163 encompassed a complete phrase structure. Each of the extrinsic phrases in the second movement of G. 161, on the other hand, present complete phrase structures and oscillates between the tonic and dominant of the secondary key. Repeating these phrase structures in the second rotation, when circumstances do not require their presence, could make them sound like part of the secondary theme and not like something that lies outside of that section.

This extrinsic phrase differs from those found in G. 159 and G. 163. Although it still responds to a problematic medial caesura (as well as a problematic primary theme and transition), it presents a passage that, in another setting, might function as part of a

[37] The separation signals used by this extrinsic phrase are summarized in Figure A.14 in Appendix A.

secondary theme in its own right. The extrinsic phrase's autonomy as a separate functional section from the transition and, in particular, the secondary theme, comes from an examination of the circumstances of its use in the exposition and its absence from the second rotation. Like the other extrinsic phrases from this set of quartets, this extrinsic phrase prepares for the secondary theme following a problematic transition. The nature of the difficulties here differs from other movements. In the other two examples, the transition's function was not recognized until the articulation of the medial caesura cadence or later. Here, the transition reaches a strong cadence and medial caesura, but the modal shift during the first half of the exposition suggests a different identity for the secondary key than that which occurs. Boccherini includes the extrinsic phrases before the onset of the secondary theme to re-normalize the (presumed) original tonal trajectory of the form and to recast the shift to minor mode as once again non-normative.

Extrinsic phrases supporting a problematic medial caesura (and/or transition) occur in the secondary key and encompass a standing on the dominant or a normative progression in the secondary key. In spite of this, they remain separate from the secondary theme. Currently, my research has only revealed uses of this type of extrinsic phrase in mid-eighteenth-century works by Boccherini, but future investigations may unearth further examples.

The introduction to this section pointed out an important difference between the function of supporting extrinsic phrases and others discussed herein: only supporting extrinsic phrases respond to a problematic event within the sonata form. Like other extrinsic phrases, supporting extrinsic phrases delay the onset of the secondary theme. The other extrinsic phrases discussed here, however, add something—material contrast, modal

contrast, or a modulation—and act as the first (and often the only) non-normative element within the exposition. Supporting extrinsic phrases respond to already-present non-normative elements and stabilize, rather than destabilize, the exposition. Specifically, these extrinsic phrases respond to problematic transitions and medial caesuras. In all of the movements discussed here, the transition's problems come from that section's inability to differentiate itself from the primary theme and establish its function before the arrival of the medial caesura. The common thread between these movements represents a stylistic characteristic of Boccherini's—although other movements using supporting extrinsic phrases may contain similarly problematic transitions (i.e. the transition's function is not recognized), this is not a required characteristic of the group. The act of responding to a problematic medial caesura and/or transition forms the only common element between all examples of supporting extrinsic phrases.

In the first two movements discussed here, the second movements of Boccherini's String Quartets G. 159 and G. 163, the medial caesura followed a transition whose function was unrecognizable until the medial caesura cadence or later. In G. 159, the transition's near-exact repetition of the primary theme meant that it remained undifferentiated from that section until its conclusion with a half cadence in the secondary key. A related situation occurred in G. 163. There the primary theme and transition were fused together with little to separate their functions. The identity of the transition was only revealed at the end of the extrinsic phrase when it became clear that passage did not itself function as the transition. In both of these movements the extrinsic phrase consisted primarily of a standing on the dominant in the secondary key that affirmed the change of key and, in a way, prepared for the medial caesura after-the-fact. The final example, the second movement of G. 161, contained a set of extrinsic phrases instead of a single phrase. The problems with the medial

caesura came as a result both of the transition's lack of differentiation from the primary theme and from a non-normative shift to the minor tonic. The extrinsic phrases in this movement were more harmonically developed than those in the other quartets discussed here; each of the extrinsic phrases articulated a complete phrase structure instead of a prolongation of the dominant.

In all of these movements, the problematic nature of the exposition's first half and, at times, the structure of the extrinsic phrases themselves, favor understanding the extrinsic phrase as an autonomous section. In two expositions (G. 159 and G. 163), the transition and medial caesura's functions are not recognized. As such, the secondary key arrives unprepared. The use of a standing on the dominant suggests an after-the-fact preparation of the key before the onset of the secondary theme. These extrinsic phrases seem corrective—as if Boccherini omitted an important step in the process of moving to the secondary key and awkwardly attempts to perform it out of its normal order. In G. 161, the extrinsic phrase serves as a point of tonal orientation following the non-normative, fused primary theme and transition that shift to the minor tonic. Like the other two movements, the transition and medial caesura's functions are recognized after their articulation. Unlike G. 159 and G. 163, however, the non-normative tonal shift in this movement creates uncertainty regarding the identity of the secondary key. The extrinsic phrase dispels this before the onset of the secondary theme.

The use of these extrinsic phrases during the second rotations of their respective movements further confirms their identity and purpose. In G. 159 and G. 163, the extrinsic phrases return during the second rotation. In the former, the extrinsic phrase performs its same task from the exposition, prolonging the dominant after an abrupt half cadence concludes the development. In G. 163 and G. 161, the treatment of the extrinsic phrases

during the second rotation ensures that one understands the extrinsic phrase's autonomy from the secondary theme. If it acted as part of the secondary theme, the extrinsic phrase would appear during the tonal resolution in those rotations. The second rotation of G. 163 expands the extrinsic phrase into a longer retransition. This creates a clear motion to the key of the secondary theme (here the tonic) absent from the exposition. By casting the extrinsic phrase into a new role where it avoids returning in the tonic key, this retransition also reinforces the extrinsic phrase's autonomy in the exposition. The second rotation of G. 161 omits the extrinsic phrase because the phrase's function in the exposition—clarifying the tonal path of that rotation—becomes a non-factor in the second rotation. The use of the major dominant as the secondary key in the exposition strongly suggests that a similar tonal path occurs during the second rotation. The second rotation's normative tonal path means the extrinsic phrase becomes unnecessary during that rotation.

	G. 159	G. 163	G. 161
ENDINGS	○	○	●
TONALITY/MODALITY			○
HARMONY			
MELODY	○	○	○
RHYTHM			
PHRASE STRUCTURE	●	●	●
DYNAMICS	●	○	
TEXTURE			
ORCHESTRATION			

○ = SEPARATION; ● = STRONG SEPARATION

Figure 4.10 Comparison of Supporting Extrinsic Phrases

The use of similar domain changes (i.e. separation signals) at the beginning of the extrinsic phrase and the onset of the secondary theme suggests a unified approach to form and formal articulation within Boccherini's Six String Quartets, op. 2. Figure 4.10 summarizes the separation signals used by the three movements discussed above. Changes in dynamics, melody, and, in G. 163 and G. 161, orchestration, contribute to the extrinsic phrase's independence from the surrounding material. All of the movements discussed above feature notated changes in dynamics at the beginning of the extrinsic phrase and at the beginning of the secondary theme. New melodies occurred at both points as well. Two of the quartets, G. 163 and G. 161, include changes in orchestration at these points. Note also that all three movements use a repeated phrase structure as their secondary theme (the one in G. 161 occurs after the secondary theme's two-measure introduction). This separates the extrinsic phrase (or phrases) from the encapsulated structure that follows.

Summary of Chapter 4

The examples discussed in this chapter focus on two potential functions for extrinsic phrases that occur in the secondary key. Materially-contrasting extrinsic phrases draw attention to the midpoint of the exposition by replacing the anticipated normative secondary theme onset with a harmonically unstable passage following the articulation of a strong medial caesura cadence and gap. This denial of expectations dramatizes the later arrival of the normative secondary theme onset, which also sets the extrinsic phrase itself into relief. The second group of extrinsic phrases supports weak endings to the transition; these endings only become medial caesuras in retrospect. These extrinsic phrases occur in movements with problematic transitions (and, at times, primary themes) that fail to make their function clear, leaving the extrinsic phrase to support the change of key.

Like the previous chapter, some elements occur across the various examples, unifying the extrinsic phrases in the two groups discussed here. Figure 4.11 shows the use of the separation signals within each movement. This reveals some consistencies across the entire group, but also some potentially false constants. An example of the latter occurs with the "endings" signal. Supporting extrinsic phrases all have weaker endings signals because of the problematic transitions and too-early MCs that create a situation wherein a composer might use such an extrinsic phrase. The appearance of weaker endings signals in the movements with materially-contrasting extrinsic phrases may or may not be a normative characteristic of these extrinsic phrases. Remember that materially-contrasting extrinsic phrases perform a similar function to the modally-contrasting extrinsic phrases discussed in Chapter 3. Modally-contrasting extrinsic phrases exhibited a wider variety of possible endings than the materially-contrasting extrinsic phrases discussed here. It is possible that, because they occur in the secondary key, materially-contrasting extrinsic phrases contain weaker conclusions, but further investigation of this type of extrinsic phrase is necessary to confirm this.

Not surprisingly, almost all of the extrinsic phrases within the chapter differentiate themselves from their surroundings in terms of melody. The onset of the extrinsic phrase not only acts as the beginning of a new section within the exposition, but as the beginning of the exposition's second half; using a new melody or motive marks the phrase as a novel portion of the form. Similarly, most movements discussed here use dynamics to further set the extrinsic phrase apart.

SIGNAL	BOCC. G. 213, I	SCARLATTI, K. 420	HAYDN, SYM. 6, I	HAYDN, OP. 17/2, I	BOCC., G. 159, II	BOCC., G. 163, II	BOCC., G. 161, II
Endings	○	○	○	○	○	○	●
Tonality/Modality							○
Harmony	●	●	●	●			
Melody	○		○	●	○	○	○
Rhythm	○			○			
Phrase Structure		●			●	●	●
Dynamics	●	N/A	●	●	●	○	
Texture	●		●	●			
Organization			●		●		
Total Signals Used:	6/9	3/9	6/9	6/9	4/9	4/9	4/9

Figure 4.11 Separation Signals Used by Chapter 4 Extrinsic Phrases

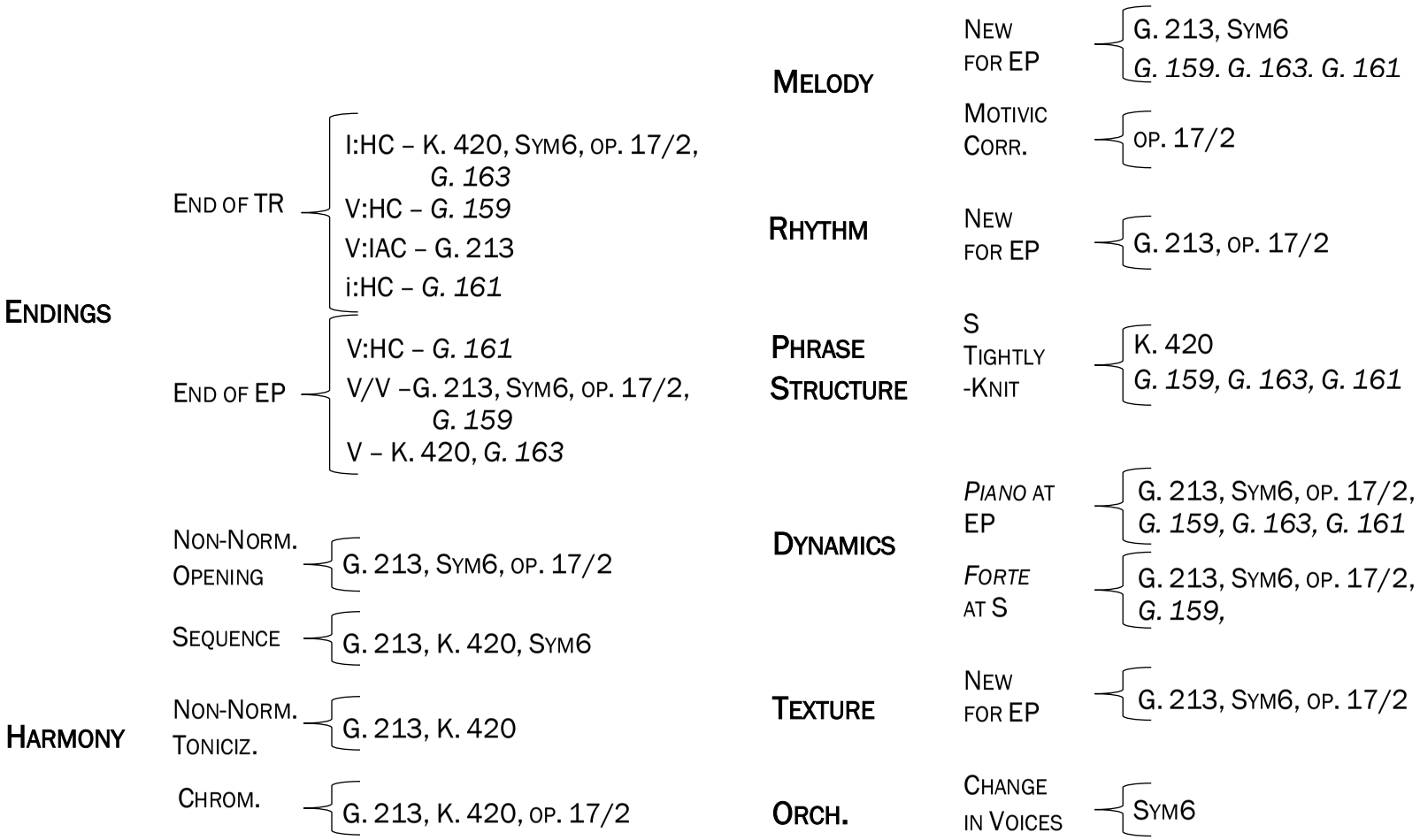

Figure 4.12 Summary of Chapter 4 EP Separation Elements

Note that, as a general rule, supporting extrinsic phrases use fewer separation signals than materially-contrasting extrinsic phrases. Materially-contrasting extrinsic phrases all use the harmony signal, which remains absent from the three supporting extrinsic phrases.[38] All three of the latter group begin on and use normative harmonies within the secondary key consistently. Both the second movements of Boccherini's G. 159 and G. 163 contain extrinsic phrases built entirely on dominant prolongations; the second movement of G. 161 includes more harmonic variety, but remains an extrinsic phrase due to the circumstances surrounding its appearance in the exposition.

Figure 4.12 summarizes the common elements between the extrinsic phrases, using the separation signals as a guide.[39] This example presents a more detailed look at each extrinsic phrase's use of the separation signals than Figure 4.11 is able to provide. Unlike the extrinsic phrases discussed in the previous chapter, most of the extrinsic phrases here follow normative cadences at the end of the transition.[40] The second movement of Boccherini's G. 161 which, like the movements in the previous chapter, features a non-normative change of key forms the single exception.

The example provides a detailed examination of the harmony signal and its use within those movements containing materially-contrasting extrinsic phrases, for which this signal is mandatory. Each of the four movements discussed in that section uses two or more non-normative harmonic elements—a non-normative opening harmony, a sequence, a non-

[38] The three movements with supporting extrinsic phrases also avoid the texture and orchestration signals. The reason for this remains unknown at this point. Boccherini clearly used texture and orchestration to set apart other extrinsic phrases within both contemporaneous movements (e.g. G. 79 from the previous chapter) and movements composed later in his career (e.g. G. 213, discussed at the beginning of this chapter). For whatever reason, however, the composer chose not to include changes in texture or orchestration around the extrinsic phrases within these movements.

[39] Figure 4.12 abbreviates each movement by reference number or title. Italicized movements contain supporting extrinsic phrases; movements listed in a non-stylized font contain contrasting extrinsic phrases.

[40] This normativity refers to the harmonies only and ignores whether or not the cadence preceding the extrinsic phrase occurs "too early" as in those movements with supporting extrinsic phrases.

normative tonicization, or chromatic harmonies. These avoid establishing the secondary key in favor of creating contrast between the extrinsic phrase and the surrounding parts of the exposition, particularly the secondary theme.

For the supporting extrinsic phrases, the phrase structure signal—particularly the use of a more tightly-knit secondary theme—appears mandatory. Indeed, this acts as one of the most important signals within the movement of the extrinsic phrase's autonomy. The others include the material preceding the extrinsic phrase, i.e. the problematic transition and early medial caesura, and the circumstances under which the extrinsic phrase returns (or does not return) during the second rotation.

The extrinsic phrases discussed here differentiate themselves from their surroundings in more subtle manners than those from the preceding chapter, which used a non-normative change in key. Instead of relying on one domain playing a primary role in separating the extrinsic phrase from its surroundings, the extrinsic phrases here use the signals in a more cooperative effort and rely at time son the circumstances of an extrinsic phrase's use to differentiate it both in terms of syntax and overall function.

The extrinsic phrases discussed here form only a part of a larger tradition that includes both the extrinsic phrases from the previous chapter, but also extrinsic phrases with different functions. Regardless of how they function and whether or not they alter the tonal trajectory of an exposition, extrinsic phrases are united by their location and autonomy from the transition and secondary theme.

CHAPTER 5

CONCLUSION

Extrinsic phrases form an important part of many early- and mid-eighteenth-century sonata forms. Understanding the passages analyzed in the preceding chapters as extrinsic phrases yields insight into the early-Classical style and can be beneficial to a performer. Although one can sometimes understand the extrinsic phrases shown here as examples of other formal entities (e.g. Hepokoski and Darcy's trimodular block or Caplin's standing on the dominant), their terminology tends to categorize the extrinsic phrases based upon their internal structure and cadences as opposed to on their overall function. The flexibility and generalizabilty of the extrinsic-phrase concept allows it to encompass these formal devices identified by other authors as well as more ambiguous passages. Extrinsic phrases also have a role in music from later eras and future studies of this formal phenomenon will yield insight into those eras and their composers as well.

The chapter begins with a brief examination of the similarities found between all examples of extrinsic phrases. A consideration of the methodology, which includes a critique of the separation signals and the general process of analysis used here, follows. The third section of the chapter discusses suggestions for the performance of works containing extrinsic phrases. This includes brief analyses of two performances of works examined in the previous chapters. Next, I reconsider the relationship between extrinsic phrases and Caplin and Hepokoski and Darcy's late-eighteenth century structures. This discussion points out several issues with using these terminologies when analyzing movements containing extrinsic phrases. This discussion leads to an examination of examples of extrinsic phrases in later

eras, namely the nineteenth century. Using examples from Beethoven and Brahms, I show that extrinsic phrases remain an important option for a sonata composer. The final portion of this chapter suggests ideas for expanding the study of extrinsic phrases and the potential benefits thereof.

Summary of Extrinsic Phrase Characteristics

Despite small differences, extrinsic phrases establish their independence from the surrounding sections of the sonata form in similar ways. Figure 5.1 shows the frequency of separation signals' incidence in the movements analyzed in the preceding chapters. This figure is potentially misleading when it comes to the dynamics signal, which plays an important role in many movements. Five of the fourteen examined movements either included no dynamic markings or, in the case of Pugnani's Sonata for Two Violins, contained suspect dynamic markings.[1] Of the remaining nine movements, most (seven of nine) featured dynamic contrast at the boundaries of the extrinsic phrase.

Figure 5.2 provides details about how each separation signal was used. For example, it examines what non-normative harmonic elements appear in the movements that used the harmony signal. Note that this example omits information on the phrase structure signal. Remember, the phrase structure signal refers to the use of a more tightly-knit phrase structure by the secondary theme.

As Figure 5.1 shows, the majority of the examples discussed here use the phrase structure separation signal. Furthermore, it seems that the phrase structure signal's use might depend on the function of the extrinsic phrase: all of the examples of modulating and

[1] By "suspect dynamic markings" I mean markings not normative to the time period that were potentially added by an editor at a later date.

supporting extrinsic phrases make use of it, as do the majority of modally-contrasting extrinsic phrases. For supporting extrinsic phrases, the use of a tightly-knit phrase structure

	Signal	Modally-Contrasting					Modulating		Contrasting				Supporting		
		Bocc. G. 79	Gavinies op. 3/1	Bocc. G. 1	Pugnani op. 1/3	Scarlatti K. 473	Albero No. 18	Scarlatti K. 184	Bocc. G. 213	Scarlatti K. 420	Haydn Sym 6	Haydn op. 17/2	Bocc. G. 159	Bocc. G. 163	Bocc. G. 161
	Endings	●	●	○	○	○	○	○	●	○	○	○	○	○	●
	Tonality/ Modality	●	●	●	●	●	●	●							○
	Harmony		●						●	●	●	●			
	Melody	●	●	○	○		○	○	○		○	●	○	○	
	Rhythm	●		○	●		○	●	○			○			
	Phrase Structure		●	●	●	●	●	●		●			●	●	●
	Dynamics		●	●	N/A	N/A	N/A	N/A	●	N/A	●		●	○	
	Texture	●			●			●	●		●	●	●		
	Orche-stration	●		●	●						●	●	●		

Figure 5.1 Separation Signals Used by Extrinsic phrases

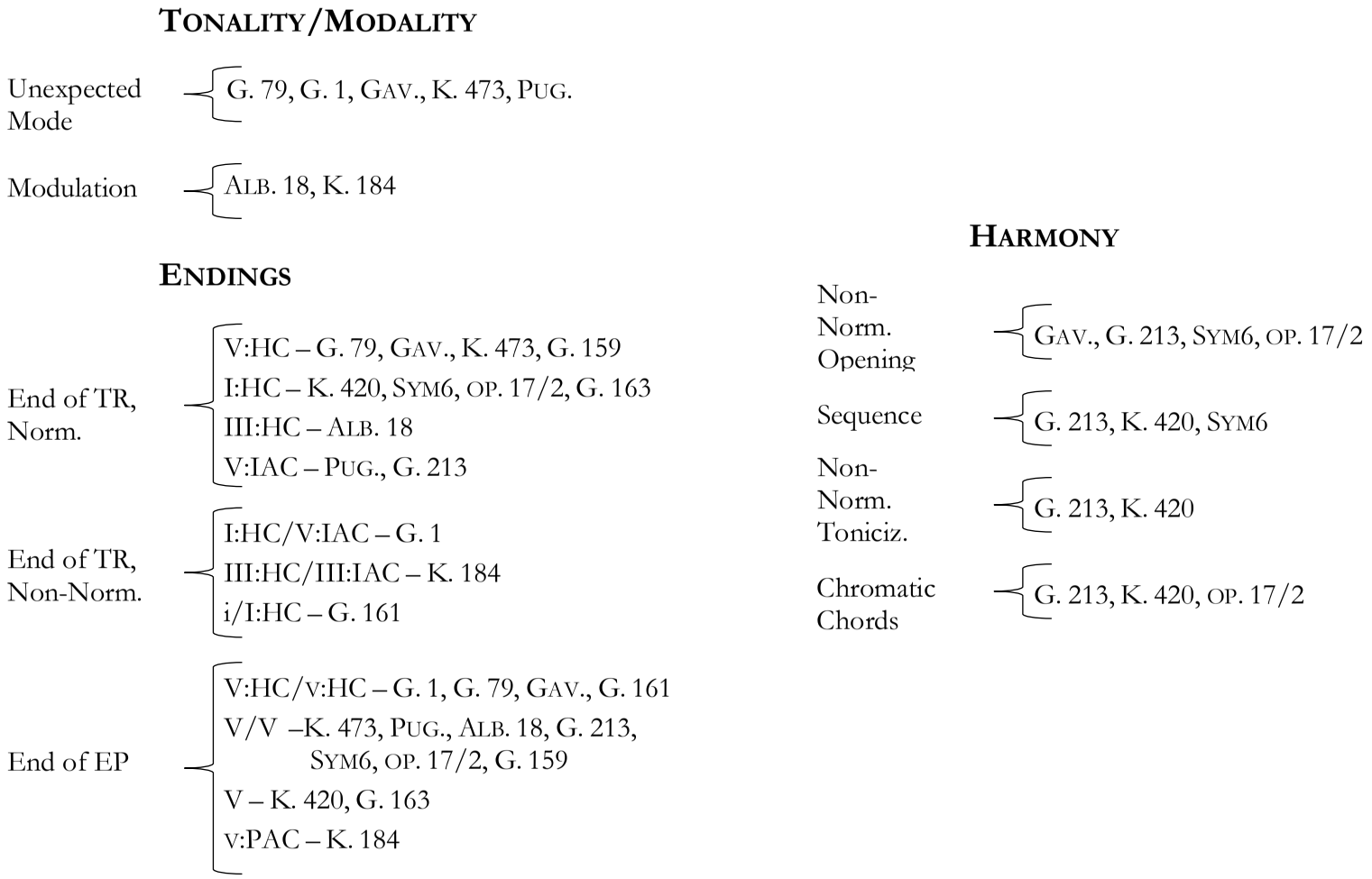

Figure 5.2 Separation Elements in EP Movements

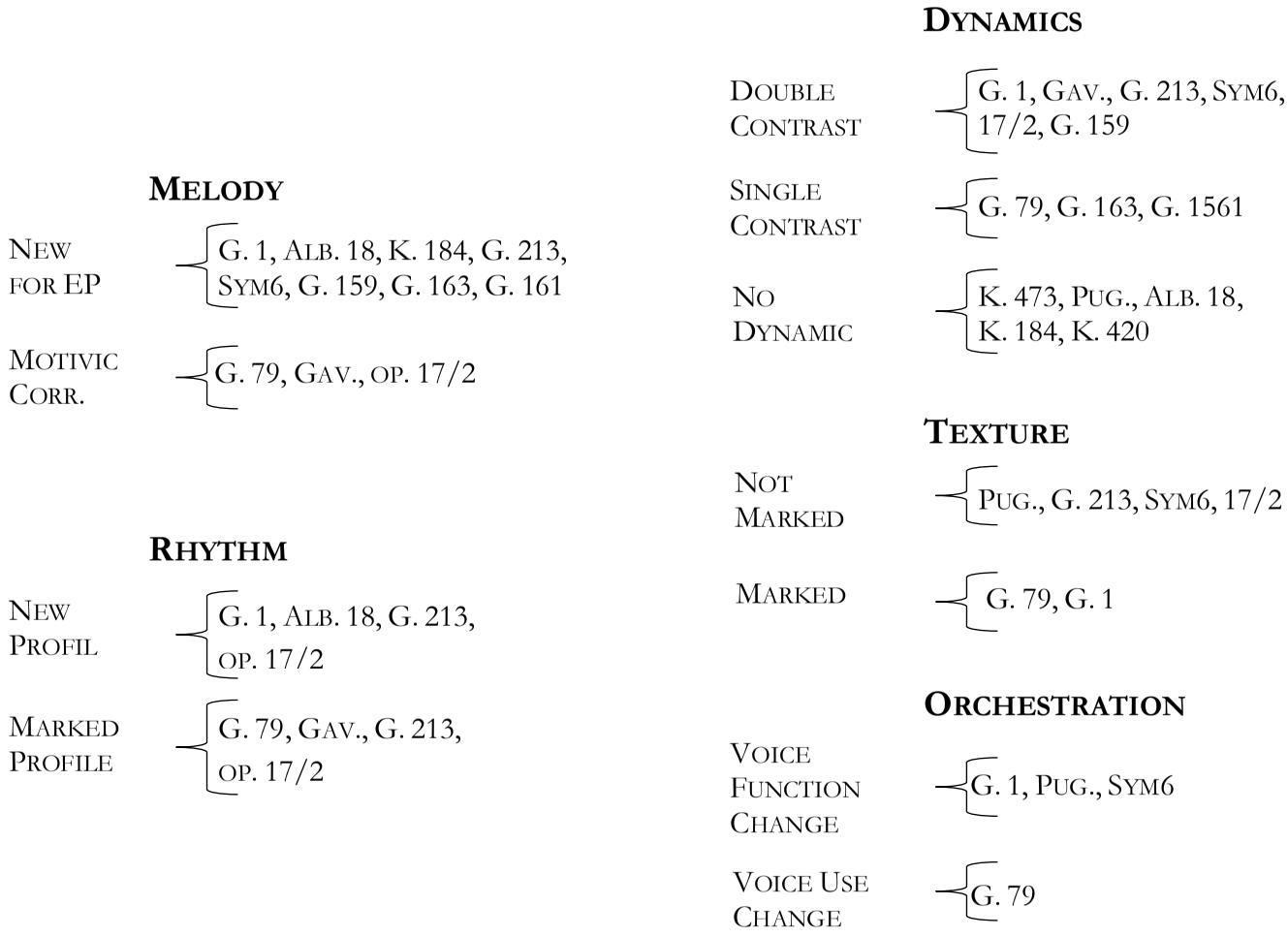

Figure 5.2, continued

by the secondary theme forms an important element in their ability to separate themselves from that section of the form. The phrase structure of the secondary theme, coupled with the circumstances of the extrinsic phrase's use (i.e. the problematic transition and medial caesura that precedes them) provide the impetus for considering these phrases an autonomous section of the form.

Figure 5.3 summarizes the types phrase structures used by the extrinsic phrases in the movements examined here. It divides the structures into two larger categories: complete structures that end with a cadence or strong dominant arrival and incomplete structures that do not. Each of these larger groups further divides the phrase structures based on their relative tight- or loose-knitted-ness. Tightly-knit, complete phrase structures include sentences and periods (the latter not included in any of the examples discussed here). Looser-knit complete phrase structures consist of phrases (which are not sentences or periods) that conclude with cadences or strong dominant arrivals. Figure 5.3 divides the tightly-knit incomplete phrase structures into two groups: presentation phrases (i.e. a repeated basic idea) and standings on the dominant.[2] Looser incomplete phrase structures include passages of music that contain limited or no internal repetition or harmonic structure and do not end with cadences or dominant arrivals.

The phrase structures used by extrinsic phrases tend to favor looser constructions over more tightly-knit ones. Given the frequency of the use of a self-contained, tightly-knit phrase structure for the secondary theme (i.e. the phrase structure signal), this comes as no surprise. Regardless of their structure, many of these extrinsic phrases contain various loosening devices, namely a sequence or sequential elements and standing on the dominant.

[2] Both of these terms come from Caplin's *Classical Form*. Presentation phrases consist of a basic idea and its repetition and form the first half of a sentence. Standing on the dominant denotes a dominant prolongation.

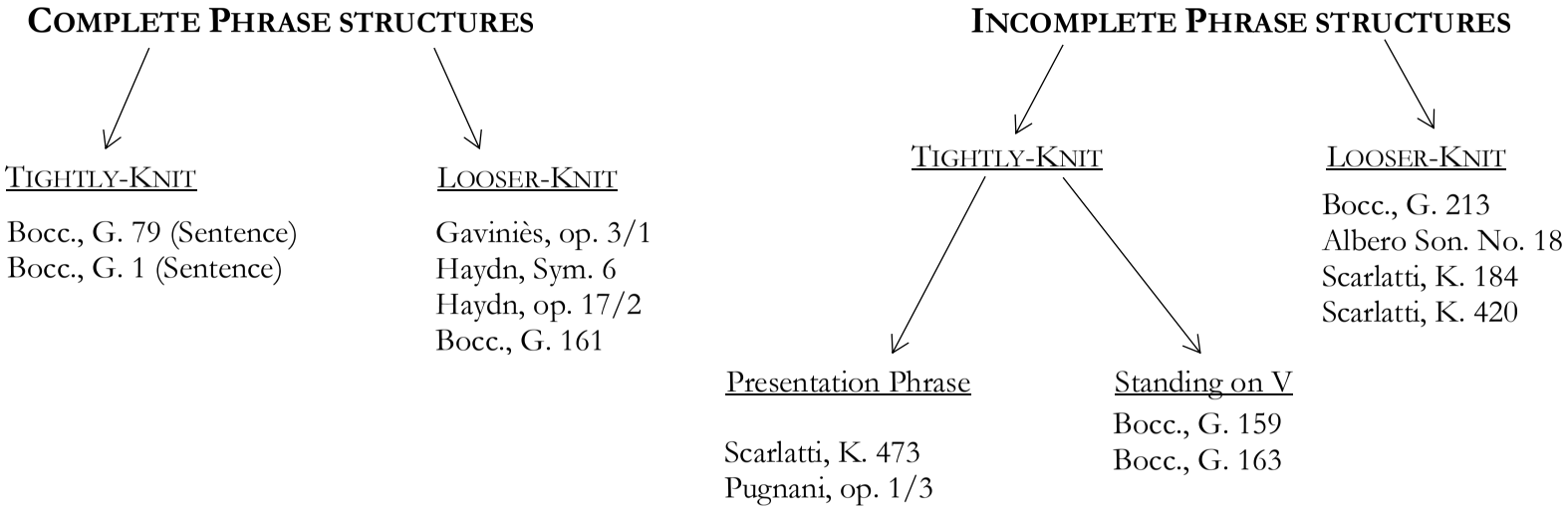

Figure 5.3 Phrase Structures used by Extrinsic Phrases

The extrinsic phrases that avoid these elements include the three most tightly-knit structures, all composed by Boccherini, and two loosely knit structures, the extrinsic phrases from Pugnani's Sonata for Two Violins and Scarlatti's Keyboard Sonata, K. 473. The latter set of extrinsic phrases sounds similar to other sequential, looser structures, like Boccherini's G. 213, but lacks the sequential repetition contained in such examples.

Consideration of Methodology

The analyses in the preceding chapters were guided by the separation signals and (to a lesser extent) by the definitions of the transition and secondary theme presented in Chapter 2. These constructs provided a backdrop against which to judge how an extrinsic phrase differentiated itself from its surroundings. The separation signals also proved beneficial in facilitating the comparison of extrinsic phrases in different movements. Yet it should be kept in mind that the emphasis placed upon these constructs in the analyses may have falsely misled the reader into believing that the definitions and the signals act as the only considerations when analyzing an extrinsic phrase. This view ignores other important factors, including the return (or absence) of the extrinsic phrase in later rotations of the exposition's material and the circumstances of the extrinsic phrase's use. Furthermore, both the definitions of the transition and secondary theme along with the separation signals have a few drawbacks in their current formulation and will require emendation for more fruitful use in future analyses of early- and mid-eighteenth-century sonata forms.

In the analysis of some movements, like the second movement of Boccherini's String Trio in A Major, G. 79, the combination of these constructs showed how an extrinsic phrase established itself as an independent formal section. In other movements, like the second

movement of Boccherini's String Quartet in A Major, G. 163, these ideas failed to satisfactorily capture the extrinsic phrase's process of differentiation. They were never meant to. Analysts must not assume that they may rely on these definitions and signals as the sole operatives in the determination of an extrinsic phrase's location and autonomy. The extrinsic phrase from Boccherini's G. 163 depended on the context of its use—i.e. that it followed a problematic transition and medial caesura—along with its function (supporting the key change) to establish its independence as a formal section. No amount of constructs or apparatuses can make these and similar circumstances clear. This is left to the analyst.

The use of extrinsic phrases in later rotations can often help an analyst uncertain of their presence or function in the exposition. The analyses of movements like the first movement of Boccherini's Cello Sonata G. 1 and the second movements of his String Quartets G. 159 and G. 163 (both supporting extrinsic phrases) showed how an extrinsic phrase's return—even if it performed a different function than it had in the exposition—could influence the interpretation of the exposition.

In their current formulation, the separation signals omit several potentially-important musical elements.[3] This includes changes in register, articulation, and technique. Register played an important role in the analysis of the extrinsic phrase in the second movement of Boccherini's String Quartet, G. 163. There, a dramatic change in the cello's register separated the extrinsic phrase from the secondary theme that followed. Other changes in register, including octave drops, marked the ends of other formal sections in the works discussed above.

Although register, articulation, and technique generally fall under the category of "orchestration" from a compositional standpoint, it is not practical to add them to that

[3] Depending on the date, style, and other aspects of the compositions one analyzes, the definitions of the separation signals may require some reconsideration beyond what is noted here.

signal. In its current formulation, the orchestration signal encompasses changes in instrumentation or their use during the extrinsic phrase and/or correlated instrumentation in other sections of the form. An expansion of the orchestration signal to include changes in register, significant changes in articulation, and the use of various techniques (e.g. *sul ponticello*, *pizzicato*, etc.) creates a strong potential for confusion.

Additionally, such a broad definition would prove detrimental for the comparison of extrinsic phrases from different movements. If, for instance, two separate extrinsic phrases included this (hypothetical) broadly-defined orchestration signal—one through a change in register and one through the use of *pizzicato*—their use of the "same" signal might point to a non-existent similarity between the two works. For these reasons, adding new separation signals to cover significant changes in various musical domains forms a better option than expanding the current definitions until they become meaningless.

Extrinsic Phrases in Performance

Whether or not the audience understands the function of the extrinsic phrase or even its place in sonata form, especially during the performance, is unimportant. Some functions of extrinsic phrases, e.g. the modally-contrasting and modulating extrinsic phrases, will be apparent because of the changes in mode and key that surround them. For other extrinsic phrases, their function may remain unknown to the audience, but their location—and the novelty of their presence—should be revealed by the performer.

In general, communicating the autonomy of an extrinsic phrase through performance does not differ from how one communicates the separation between other sections of the sonata. The best performances of extrinsic phrases recognize the extrinsic phrase's place in the overall form, i.e. that it acts as an added section between the transition

and the secondary theme. By understanding the location and function of extrinsic phrases, performers can respond to them musically.

Communicating the location of the phrase requires one to pay close attention to any changes between the formal sections that create contrast as well as any written or implied breaks in the music. At times, the performer may need to exaggerate or even add elements to the score (e.g. dynamics) for this purpose. Of course, no score contains the complete information one needs for performance. Rudolf Rasch summarizes the performer's relationship with the score in his article, "The Volatility of Musical Composition," stating that "when music is performed…the written form only partially defines the resulting sound…to obtain that [aesthetic satisfaction], it is necessary to add something to the written score and that is necessarily something that is unwritten."[4]

Although the separation signals discussed in previous chapters do not provide the sole basis of an extrinsic phrase's autonomy, their presence greatly helps one perform an extrinsic phrase in such a way that it remains clearly independent from the transition and secondary theme. The most salient separations include clear boundaries at the end of the transition and before the secondary theme, affected by a combination of the endings and the dynamics signals. These two signals are the most readily available to a listener. When present, the tonality/modality signal also greatly emphasizes the presence of an extrinsic phrase, but this signal only occurs in conjunction with certain extrinsic phrase functions whereas the endings and dynamics signals generally remain an option for all extrinsic phrases.[5]

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[4] Rudolf Rasch, "The Volatility of Musical Composition," in *Beyond Notes: Improvisation in Western Music of the Eighteenth and Nineteenth Centuries*, edited by Rudolf Rasch, 1–16 (Turnhout, Belgium: Brepols, 2011), 2.

[5] Even in the case of supporting extrinsic phrases, where a problematic or unrecognized medial caesura occurs, some sort of clear endings—in the form of an arrival on a strong harmony, a rest, or both—occurs prior to the onset of the secondary theme.

Emphasizing the endings and the dynamic changes around the extrinsic phrase creates a frame around the extrinsic phrase that is more likely to be perceived by a listener than changes in harmony, rhythm, or even melody. For this reason, gaps between the transition and the extrinsic phrase or between the extrinsic phrase and the secondary theme should be clearly articulated, perhaps even exaggerated by the performer. These "gaps" include literal rests as well as held notes or cadences.

The performer should similarly exaggerate any changes in dynamics. However, this can, in the case of some early- and mid-eighteenth-century works prove more difficult as the performer may face a score with unreliable or comparatively incomplete information. Examples of such scores occurred in previous chapters. The score to Pugnani's Sonata for Two Violins op. 1, no. 2 contains potentially anachronistic dynamic markings that were excised before the analysis of the first movement in Chapter 3.[6] Rasch has written about similar editorial difficulties regarding the scores to Boccherini's Six String Trios op. 1 (which includes the String Trio in A Major, G. 79).[7]

In other movements discussed here, like various sonatas by Domenico Scarlatti, the composer gives no indication of how one should proceed with certain elements of the performance, e.g. dynamics and articulations. "Especially with early music—and the more so the earlier the music—performers have to take [sic][make] many decisions about the unwritten aspects of the music they are performing."[8] In general, the performer should seek

[6] Compare the score used in Figure 3.7 on page 114 to the Verlag Doblinger edition found in Appendix B, beginning on page 261.
[7] See Rudolf Rasch, "The Volatility of Musical Composition," in *Beyond Notes: Improvisation in Western Music of the Eighteenth and Nineteenth Centuries*, edited by Rudolf Rasch, 1–16 (Turnhout, Belgium: Brepols, 2011). Despite the various difficulties he faced (including the lack of an autograph and approximately fifty manuscript sources to sift through) Rasch successfully edited the edition of these trios used here. These form part of a larger, closely edited collected edition of Boccherini's work currently in production.
[8] Ibid., 2.

to highlight an extrinsic phrase from a piece with fewer directions for performance just as they would one that included such markings.

A brief examination of two performances of extrinsic phrases from Boccherini's work provides an example of how the recognition of extrinsic phrases in a score might change a performance. Trio Arcophon's 1971 recording of the String Trio in A Major, op. 1, no. 3, G. 79 provides an excellent example of interpreting extrinsic phrases through their performance of the second movement.[9] Figure 5.4 shows the extrinsic phrase, for reference.[10] Although the performers would not have recognized the extrinsic phrase as such it is clear that they recognized its novelty within the form and sought to emphasize it.

This choice becomes most apparent in their treatment of dynamics. The score, which used Rasch's carefully edited version as its basis, leaves some room for interpretation in the performance of the dynamics. At m. 16 the entire ensemble shifts from a *piano* dynamic marking to *forte*. However, at m. 17, the second violin alone is marked *piano*. Trio Arcophon creates a *tutti* drop to *piano* at the beginning of m. 17. Furthermore, and evidence of the ensemble's potential recognition of the extrinsic phrase's autonomy, Trio Arcophon adds dynamic contrast between the end of the extrinsic phrase and the beginning of the secondary theme where none is marked on the score.[11]

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[9] See Disc 1, Track 3 of Trio Arcophon and I Filarmonici di Bologna, *Boccherini: String Trios op. 1 and Symphonies op. 35*, Newton Classics, 8802102, © Newton Classics B.V. Original sound recording made by Rivoalto, © 1971 (3 compact discs). The second movement begins at 03:43 minutes into the track.

[10] The score to the entire exposition may be found in Figure 3.2 on page 93.

[11] To be fair, it is entirely possible that the score and parts Trio Arcophon used included the *tutti* drop to *piano* and the added dynamic contrast. As evinced by Rasch's article, cited earlier, there are many manuscript and printed versions of Boccherini's String Trios, op. 1, one of which might contain such markings.

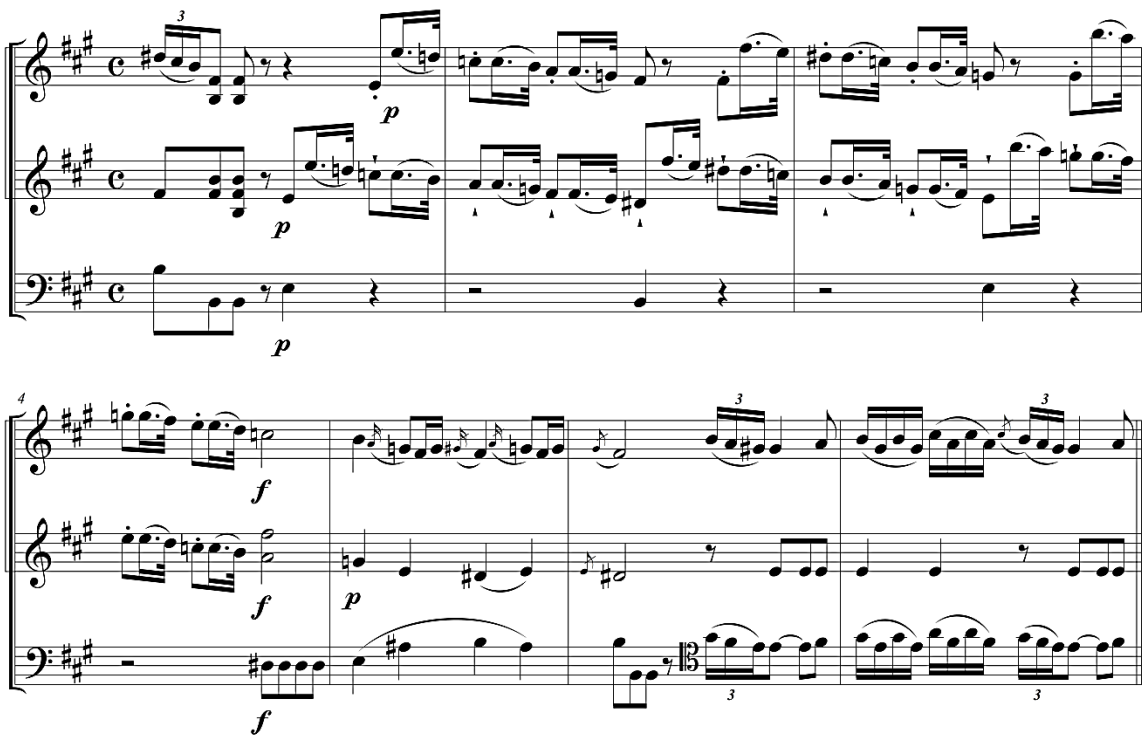

Figure 5.4 Boccherini's String Trio, G. 79, ii, Extrinsic Phrase

In contrast, the Borciani Quartet's 2001 recording of Boccherini's String Quartet in A Major, G. 213 provides an example of a performance that fails to emphasize the indicated contrast between the extrinsic phrase and its surroundings.[12] Figure 5.5 shows the extrinsic phrase. The Borciani Quartet uses a severely limited dynamic range throughout the quartet. This creates problems in separating the extrinsic phrase from its surroundings. For example, between the end of the transition and the beginning of the extrinsic phrase, the dynamic level should shift from *fortissimo* to *piano*. This drop in dynamics mirrors the shift from *piano* to *fortissimo* that occurs between the end of the extrinsic phrase and the onset of the secondary theme. The Borciani Quartet performs the latter of these two dynamic changes

[12] See Track 1 of Quartetto Borciani, *Boccherini: String Quartets Op. 32 and Op. 39*, Naxos, 8.555042, © 2001 HNH International, Ltd.

convincingly, but not the former. The issue here seems to be a failure to reach *fortissimo* during the transition.

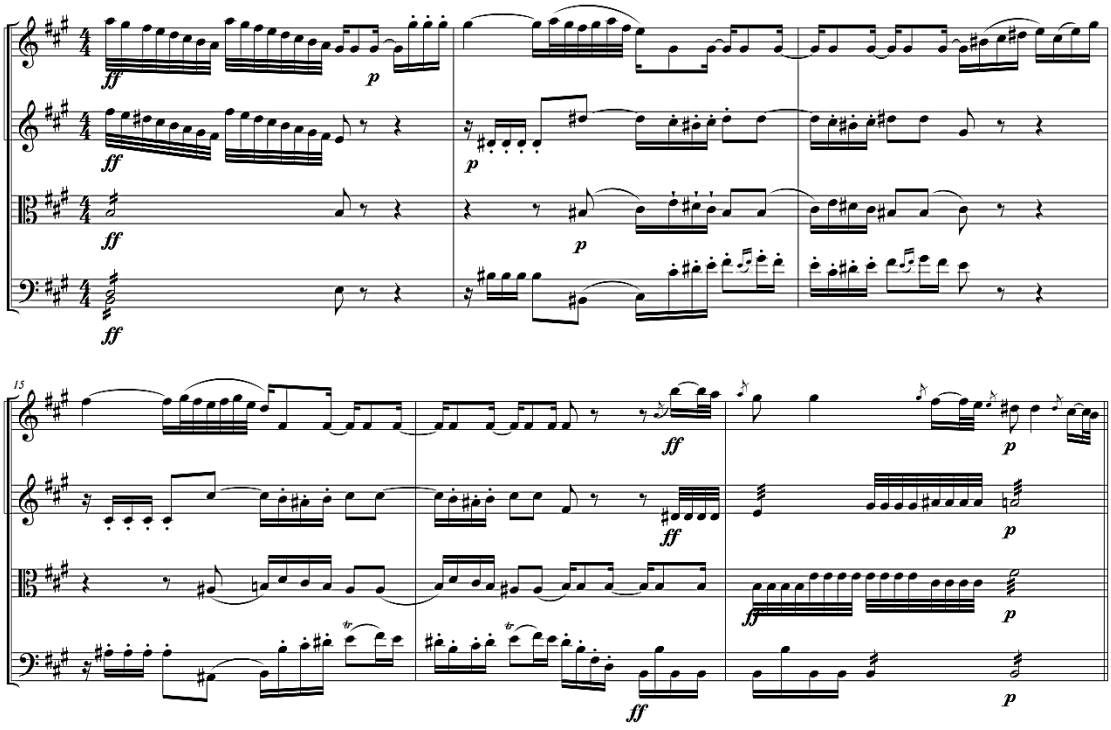

Figure 5.5 Boccherini, String Quartet, G. 213, i, Extrinsic Phrase

This would be problematic for the performance of the movement even if it contained no extrinsic phrase (i.e. the secondary theme followed the medial caesura). The dynamic contrast between the extrinsic phrase and the secondary theme more clearly demarcates the boundary between those two sections. The Borciani Quartet's avoidance of contrast at the beginning of the extrinsic phrase makes the relationship between the transition and the measures that encompass the extrinsic phrase difficult to understand. Regardless of whether one recognizes the compositional practice and function of this extrinsic phrase, the performance of the work needs to separate the transition from the extrinsic phrase in order to the autonomy of both sections and maintain the form's coherency.

Extrinsic Phrases and Current Terminology

Previous chapters have commented on several structures from current theories of form that hold the potential to overlap in terms of location with extrinsic phrases. To minimize confusion, the analyzed examples of extrinsic phrases from the preceding chapters avoided this terminology and focused instead on how the extrinsic phrases separated themselves from their surroundings and what function they served within their respective movements. I now return to the issue of current terminology and re-examine how extrinsic phrases are related to some of these structures. In the course of this discussion three things become clear. First, the terminology used in current theories of form is imprecise. This can make it difficult to decide which of several potential terms is the most appropriate for a given passage. Second, although this terminology encompasses some of the previously discussed examples of extrinsic phrases, it fails to describe many others. Finally, the compartmentalization of extrinsic phrases into these and other structural categories diminishes one's ability to recognize the common function that often occurs between disparate structures.

Figure 5.6 diagrams Caplin's as well as Hepokoski and Darcy's terminology and some of the movements they apply to.[13] Naturally, several overlaps occur between Caplin's terminology and Hepokoski and Darcy's: the authors choose to describe similar structures, but with different language (and, often, analytical implications). For instance, both theories contain specialized terms to describe the extrinsic phrase from Albero's Keyboard Sonata no. 18 and Scarlatti's Keyboard Sonata, K. 184. Similarly, it seems that the non-modulating version of Hepokoski and Darcy's trimodular block overlaps with

[13] The example includes limited instances of each structure in the interest of space. Note that this is my reading of Hepokoski and Darcy as well as Caplin's terminology in relation to these extrinsic phrases.

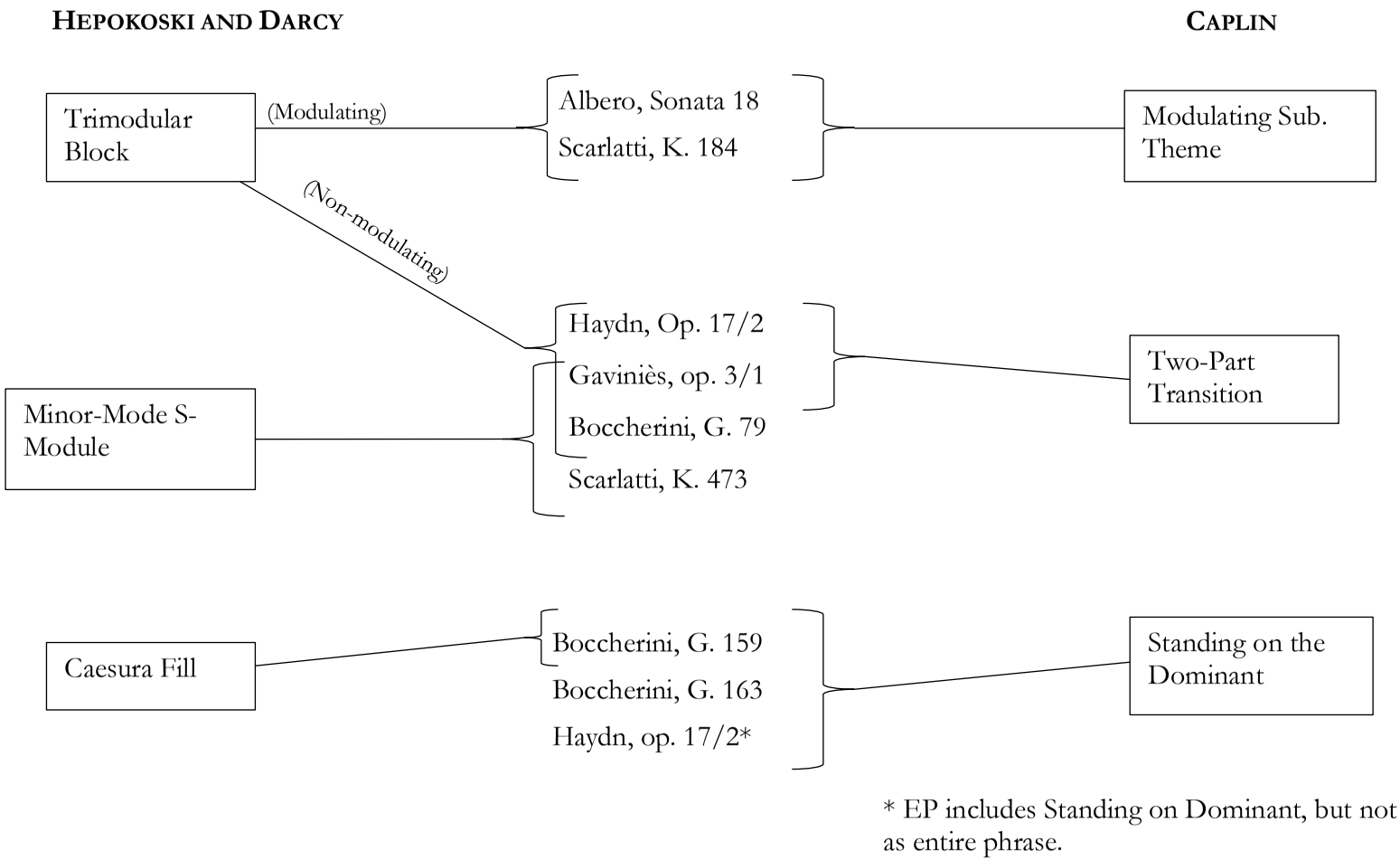

Figure 5.6 Various Structures and Extrinsic Phrases

Caplin's two-part transition. The following discussion addresses some of the more salient examples of these structures.

The extrinsic phrase from the second movement of Boccherini's String Trio, G. 79, shown above in Figure 5.4, presents an interesting overlap between two of Hepokoski and Darcy's terms, the trimodular block and the minor-mode S-module.[14] Using Hepokoski and Darcy's terminology, one might understand this passage as an initial, "minor-mode S-module," i.e. a non-normative opening to the secondary theme. After the minor-mode sentence structure ends, the secondary theme continues with melodically-unrelated sentence that concludes with a PAC in the secondary key (EEC). The authors discuss the use of the minor mode within secondary themes stating that:

> "Sometimes the first S-module [secondary theme module] within a major-mode work makes its appearance in the *minor* dominant (v) with the implication of tragedy, malevolence, a sudden expressive reversal, or an unexpected complication within the musical plot…This procedure may have been rather common in the middle of the eighteenth century."[15]

Readers may note that this account of Boccherini's string trio contradicts the brief analysis using Hepokoski and Darcy's terminology undertaken in the first chapter of my work. There, the extrinsic phrase from the string trio was identified as part of a trimodular block. In this interpretation, the extrinsic phrase acts as a TM^1-TM^2 merger that ends with a v:HC medial caesura effect. TM^3 follows in the major mode and leads to the EEC.

The two interpretive possibilities for the extrinsic phrase from G. 79 do not result from a misreading of Hepokoski and Darcy's work; the conflict exists in *Elements of Sonata Theory* as well. Chapter 2 used the first movement of Beethoven's Keyboard Sonata in C

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[14] Chapter 2 did not discuss the "minor-mode S-module." Later paragraphs discussing the overlap between this concept and the trimodular block provide a definition.

[15] See Hepokoski and Darcy, *Elements*, 141. In a footnote, the authors point to Charles Rosen's examination of minor-mode beginnings to the secondary theme in the mid-eighteenth century, cited above during the discussion of similarities between various extrinsic phrase functions.

Major, op. 2, no. 3 as an example of a trimodular block. This same example is used by Hepokoski and Darcy in their explanation of the minor-mode S-module. According to the authors, the trimodular block should not be conflated with the secondary theme:

> In [the trimodular block] one might suppose that the "real" S-function is consequently shifted over to TM3, following the "real" MC. And it is here where the concept of "S" itself might be challenged as inadequate to the situation as hand. Any projecting of such a label as S…onto portions of a TMB [trimodular block]…insists on interpreting a more complex expositional phenomenon (the TMB) by means of the conceptual categories of a simpler one.[16]

However, in discussing their "minor-mode S-modules" the authors do just that. They cite the first movement of Beethoven's op. 2, no. 3 as an example of an exposition containing such a module and state that in the exposition "S begins in G minor."[17]

Fittingly, Hepokoski and Darcy's discussion of Beethoven's op. 2, no. 3 would benefit from a generic term encompassing non-normative insertions between a normative transition and secondary theme. In this situation, "extrinsic phrase" encourages one to consider the stylistic practice and its relationship to other similar examples, i.e. the use of the minor mode at the beginning of the exposition's second half and the delay of a normative secondary theme that leads to a PAC in the major mode, which occurs in movements without trimodular blocks.

Although extrinsic phrases encompass various examples of these late-eighteenth-century formal entities, the term also includes situations for which no current term exists. Several such extrinsic phrases were analyzed in the preceding chapters, including the extrinsic phrases from Scarlatti's Keyboard Sonata K. 473, Pugnani's Sonata for Two Violins, and Boccherini's String Quartet G. 213. Apart from "non-normative beginning to the secondary (subordinate) theme," neither Hepokoski and Darcy nor Caplin's terms

[16] See Hepokoski and Darcy, *Elements*, 175.
[17] Ibid., 141.

encompass the extrinsic phrases within these movements. However, these extrinsic phrases are related to other, similarly-functioning extrinsic phrases. The concept of "extrinsic phrase" provides a generic term capable of relating various passages based on their function within a movement rather than their internal structure or use of cadence.

Extrinsic Phrases in Later Eras

Recognition of extrinsic phrases in sonata forms allows an analyst to connect compositional practices that occur in works from different composers, genres, and eras. This, in turn, yields a greater understanding of style and stylistic development. The overlap between extrinsic phrases and the terminology discussed above, which was created to primarily describe music from the late-eighteenth century, implies that extrinsic phrases remain in use throughout the eighteenth century. Additionally, the use of this terminology by its originators and others to describe events in sonata forms of the nineteenth century suggests that extrinsic phrases also occur during this time period. A brief examination of two works from the nineteenth century, the first movement of Beethoven's String Quartet in F Major, op. 59, no. 1 (1806) and the first movement of Johannes Brahms's Clarinet Sonata in F Minor, op. 120, no. 1 (1894) provide an idea of how one might use extrinsic phrases to link a compositional practice from the early- or mid-eighteenth century to a similar practice from fifty or nearly one hundred and fifty years later.

The first movement of Beethoven's op. 59, no. 1, a Type 3 sonata form, includes an extrinsic phrase in its exposition that later returns in the recapitulation.[18] The movement begins with a nineteen-bar quasi-periodic structure which lacks a central cadence. Measures 1–8 act as the antecedent and mm. 9–19 form the consequent. This passage ends with a PAC

[18] Due to the wide availability of the score to this movement, the examples here only show the pertinent measures of the extrinsic phrase.

in F major, the tonic key. The nine-measure phrase that follows, mm. 20–29, ends with a half cadence in tonic, but contains chromatic harmonies and disjunct rhythm more usual to a transition. Although the section following it begins in F major and continues to a modulation, one hesitates to include mm. 20–29 within the boundaries of the primary theme zone. Rather, these measures, taken with the section that follows (mm. 30–48) seem to form an example of Caplin's two-part transition. Indeed, when this section returns in mm. 242 ff., it acts as a retransition before the beginning of the recapitulation, which begins at m. 254.

Regardless of whether one understands the transition to begin at m. 20 after the initial periodic structure or at m. 30, following the nine-bar phrase, the transition concludes at m. 48 with a *fortissimo* half cadence in the dominant. At this point, one expects the arrival of a secondary theme in the dominant key, C major. Instead, however, one hears a twelve-measure extrinsic phrase, mm. 48–59, which consists of a chromatically-embellished standing on the dominant. Figure 5.7 shows the extrinsic phrase. The extrinsic phrase features a novel initial melody in the cello and rhythms similar to those of mm. 20–29, though no melodic similarities occur between the two passages. The secondary theme follows in m. 60, leading to the EEC in m. 93.

Given its exclusive use of standing on the dominant, one might point to similarities between this extrinsic phrase and the supporting extrinsic phrases discussed in Chapter 4. However, this designation doesn't seem to aptly describe the purpose of the extrinsic phrase in Beethoven's quartet. Although the beginning of the transition may occur at one of two points, it concludes with an emphasized medial caesura cadence at m. 48 which requires no additional support.

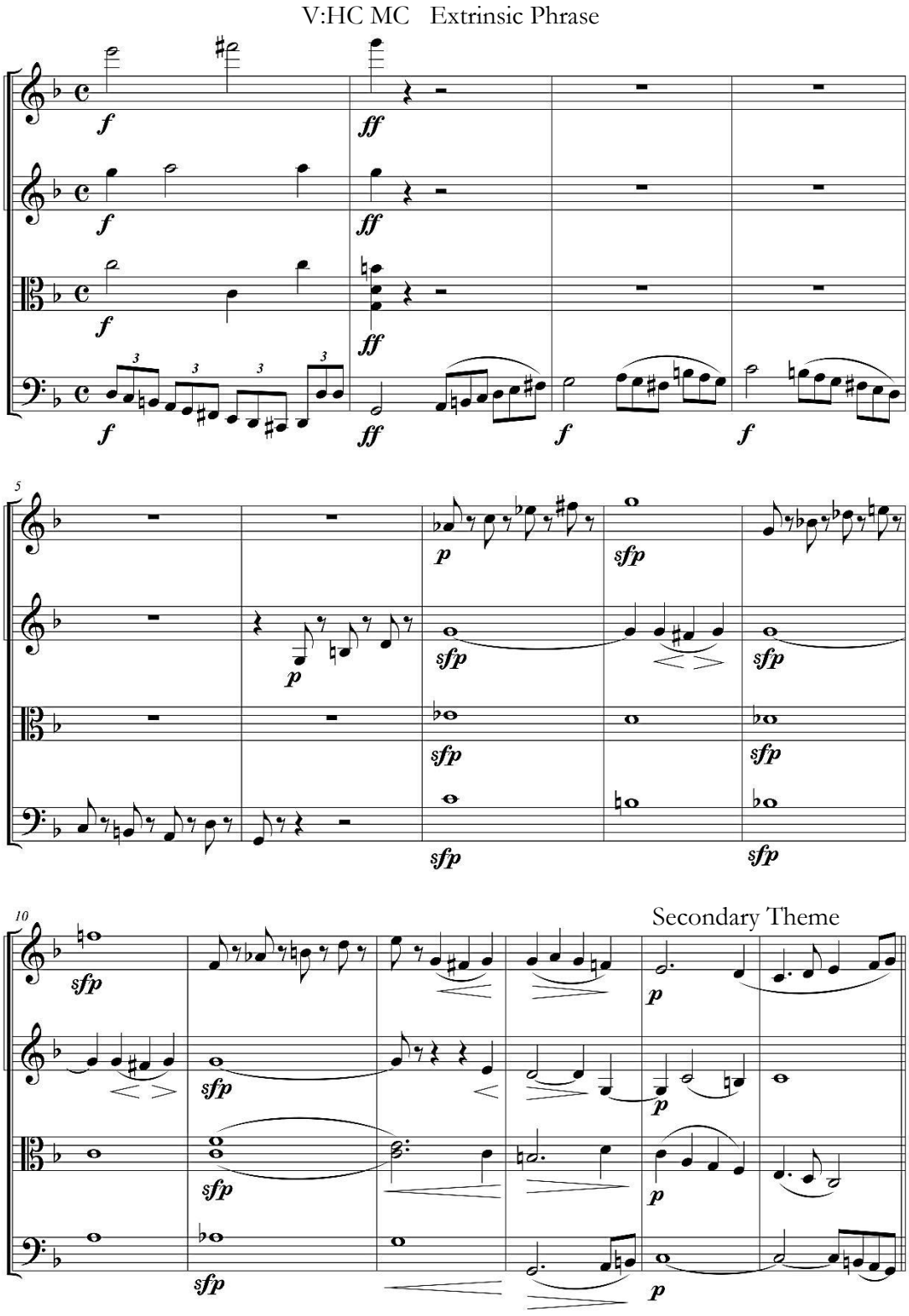

Figure 5.7 Beethoven, String Quartet op. 59, no. 1, i, Extrinsic Phrase

The extrinsic phrase here is most closely aligned with my earlier examples of materially-contrasting extrinsic phrases. It begins with a *fortissimo* melody on G major (V/V) which could act as the onset of the secondary theme but leads to a lengthy standing on the dominant embellished by non-normative chromatic harmonies (namely a series of diminished seventh chords). It delays the arrival of the secondary theme, providing a point of contrast with the expectations created by the medial caesura that immediately precedes it. Although one might at first think the choices Beethoven made during his middle period lie at a great distance from the mid-eighteenth century style of Boccherini and Scarlatti, it appears that the two may have more in common.

The same can be said of the use of so-called "three-key expositions." Graham Hunt has written extensively on the three-key exposition in Schubert and Brahms and discussed its historical precedents including pieces from the mid-eighteenth century.[19] Hunt's 2009 article specifically looks at three-key expositions that coincide with instances of Hepokoski and Darcy's trimodular block. Although a prevalent method of organizing an exposition with two key changes, trimodular blocks are not the sole way of creating such an exposition. As the discussion of modulating extrinsic phrases in Chapter 3 showed, some composers, like Albero and Scarlatti, used methods of moving from a prepared secondary key to another secondary key that did not require a second medial caesura effect.

Hunt's discussion includes an examination of the first movement of Brahms's Clarinet Sonata in F Minor, op. 120, no. 1. One could also recognize the passages that Hunt identifies here as TM^1 and TM^2 as a pair of extrinsic phrases. Figure 5.8 shows the beginnings and ends of the two extrinsic phrases, along with the end of the transition and the beginning of the secondary theme.

[19] See Graham Hunt, "The Three-Key Trimodular Block and Its Classical Precedents: Sonata Expositions of Schubert and Brahms," *Intégral* 23 (2009): 65–119.

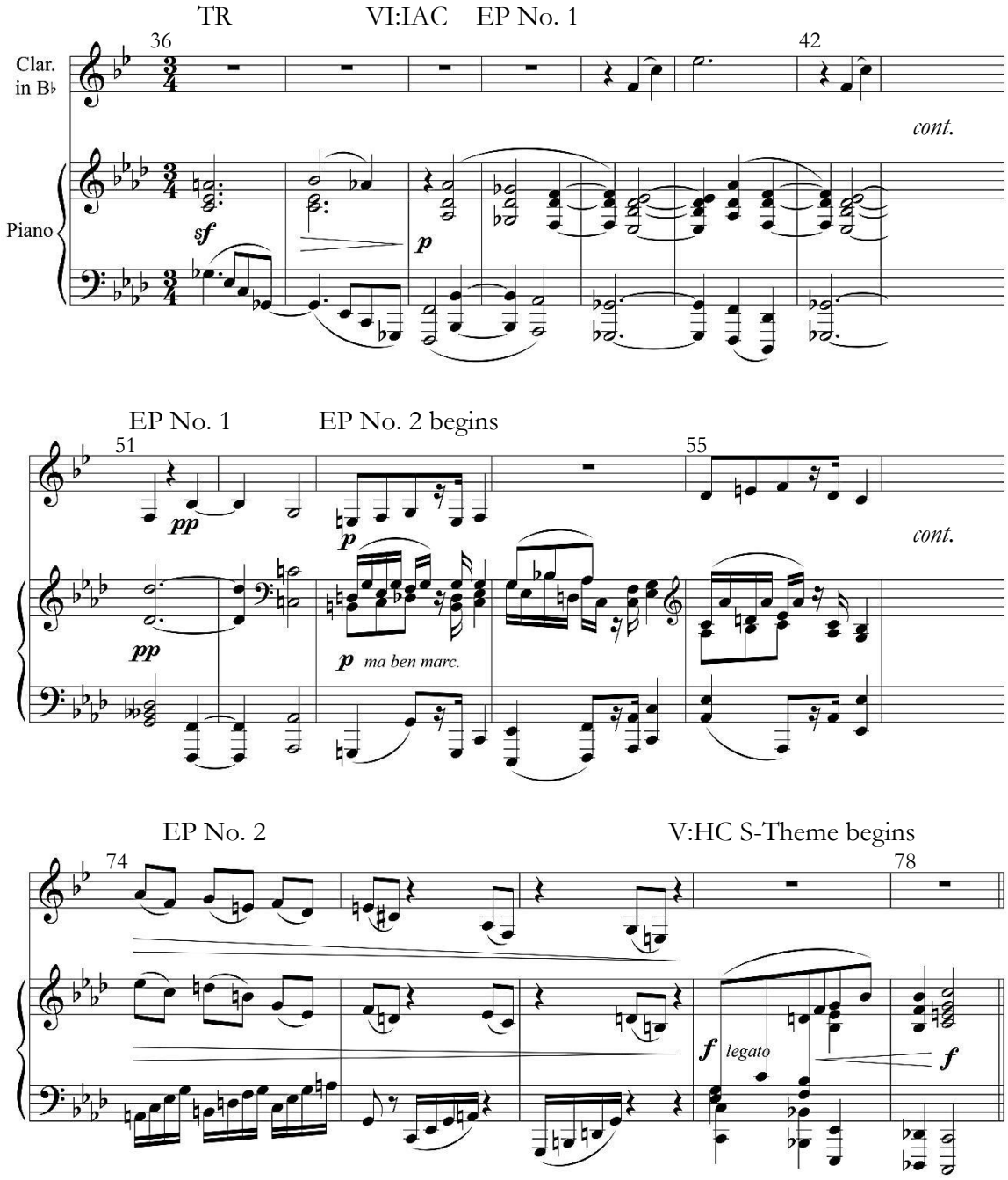

Figure 5.8 Brahms, op. 120, no. 1, Extrinsic Phrases

The exposition of Brahms's sonata begins with a twenty-four measure primary theme, followed by a brief transition, mm. 25–37. The medial caesura cadence at m. 38 differs greatly from others seen here. The cadence, an IAC in the submediant, D-flat major,

consists of a third-inversion dominant followed by a first-inversion tonic chord in D-flat.[20] The extrinsic phrase that follows articulates a brief theme in the submediant that ends on the dominant of that key at m. 52. A second extrinsic phrase, mm. 53–76 follows and modulates to the minor dominant, C minor. This extrinsic phrase ends with a v:HC. The secondary theme begins at mm. 77 and leads to the EEC, a PAC in the minor dominant, at m. 88.

Considering mm. 38–76 from the first movement of Brahms's clarinet sonata as a pair of extrinsic phrases rather than a trimodular block allows us to connect it back not only to early, clear examples of trimodular blocks that affect key changes, but to movements without trimodular blocks that follow a broadly similar pattern of keys in their expositions (i.e. they introduce two "secondary" keys, not one). This connects works like Albero's Sonata No. 18 in B Minor to Brahms's movement, despite the former avoiding the two-medial-caesura-effect construction used by the latter. Furthermore, one might also connect these modulating extrinsic phrases to shorter modulatory formations like the modulating caesura fill from Mendelssohn's Overture, op. 2 "The Hebrides," discussed earlier in Chapter 2.[21]

The advantages of the extrinsic phrase concept lie in part in its ability to allow an analyst to make long range connections, like those between the nineteenth-century examples discussed here and the early- and mid-eighteenth century works examined in previous chapters. Using the term "extrinsic phrase" also yields links between movements containing passages with seemingly disparate structures, but similar purposes, like those seen in connection with the example from Brahms's clarinet sonata.

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[20] Hunt identifies this as moment as a half cadence in the submediant, D-flat major (VI:HC). While I agree with the key, I cannot hear this as a half cadence due to the third-inversion dominant seventh chord's tendency to resolve downwards. Only when the octave Fs enter at m. 38 do I hear the conclusion to the preceding transition.

[21] See Figure 2.17 on page 71 in Chapter 2.

Suggestions for Further Study

This dissertation serves as an introduction to extrinsic phrases and, as such, opens several avenues to investigation. Extrinsic phrases remained a vital option for sonata in the late-eighteenth and nineteenth centuries. A large-scale investigation about their use and function in music from various time periods would impart a greater understanding of extrinsic phrases and sonata form as a whole. Such studies may help to reveal aspects of style in the works of a certain time period, geographic region, or composer.

Each of the functions of extrinsic phrases discussed in Chapters 3 and 4 might spark its own study. Modally-contrasting extrinsic phrases, often understood as "wrong-mode" beginnings to the secondary theme, occur frequently in works outside the early- and mid-eighteenth century. Reexamining works which contain this phenomenon from the perspective of extrinsic phrases, including those identified by Rey M. Longyear as well as Hepokoski and Darcy,[22] will yield insight into the use of these extrinsic phrases in various time periods. An investigation of materially-contrasting extrinsic phrases, which are also frequently identified as "odd" or "non-normative" beginnings to the extrinsic phrase may lead to similar results.

As the example from Brahms's Clarinet Sonata in the previous section showed, modulating extrinsic phrases coincide with what some call the "three-key exposition." Graham Hunt specifically ties eighteenth-century, three-key examples of the trimodular block to the works of Schubert and Brahms. Expanding the scope of Hunt's study to include eighteenth-century examples that lack the two-medial-caesura construction of the trimodular block might yield further insight into the history and development of such expositions.

[22] The examination of modally-contrasting extrinsic phrases in Chapter 3 includes a discussion of the work of these authors.

Similarly, one might also undertake a close examination of how (and if) the more ambiguous structures seen in the some of the extrinsic phrases of early- and mid-eighteenth century works discussed above develop into the strongly articulated late-eighteenth century structures, like the trimodular block. This research potentially applies to more than extrinsic phrases and trimodular blocks: the development of the Classical style from the early- and mid-eighteenth century to the late-eighteenth century remains under-investigated.

Supporting extrinsic phrases seem to occur in a limited number of works, but may represent an important step in the development of the sonata form exposition's single key change. At least in the works of Boccherini, the use of supporting extrinsic phrases seems to occur in earlier, but not later works.[23] For this reason, it is possible that supporting extrinsic phrases acted as a way of emphasizing the exposition's single key change before other methods were arrived at.

Additionally, the repertoire for the present study was limited (mostly) to chamber music from the early- and mid-eighteenth century. All of the movements included here were either Type 2 or the Type 3 sonata forms. Broadening the scope of future studies to include other genres—i.e. symphonic and vocal works—may reveal different ways in which extrinsic phrases establish their autonomy in these genres. Equally important is expanding the study of extrinsic phrases to different sonata forms, the Type 1 (sonata without development), Type 4 (sonata rondo), and Type 5 (concerto first movement) forms. The Type 4 and Type 5 sonatas in particular feature a different design for their expositions that might change the way an extrinsic phrase functions.

The practice of using extrinsic phrases likely stems from both earlier Baroque practices and from earlier and contemporaneous examples of binary form. An examination

[23] As of this writing, I have found no examples of supporting extrinsic phrases after 1770 in Boccherini's work or the works of others.

into the genesis of various extrinsic phrase functions (such as the potentially Corellian roots of modally-contrasting extrinsic phrases suggested by Sutcliffe)[24] and the use of extrinsic phrases in general would not only provide important insight into the early Classical style, but also into larger stylistic practices that cut across multiple eras of music history. Also, such a study might provide insight into the development of sonata form from its predecessors and earliest roots to its modifications in later eras.

Extrinsic phrases form a flexible, important part of sonata-form compositions and, though some common internal structures for extrinsic phrases receive more use than others (e.g. the trimodular block construction discussed in the analyses above), these constructions remain related to all other extrinsic phrases. Although not necessary to the structural coherence of a sonata form, extrinsic phrases functioned in important ways because composers molded them into what they wanted. Much work remains to be done regarding extrinsic phrases, their use, and the place within various sonata forms. Understanding these added sections of the form will greatly enhance our understanding of sonata forms in the various eras during which they are used.

[24] Sutcliffe, of course, does not use the term "modally-contrasting extrinsic phrases" but discusses Boccherini's practice of inserting sections in the minor mode. See the beginning of the section on modally-contrasting extrinsic phrases in Chapter 3 as well as W. Dean Sutcliffe, "Archaic Visitations in Boccherini's Op. 32," in *Boccherini Studies I*, edited by Christian Speck, 245–76 (Bologna, Italy: Ut Orpheus, 2007).

APPENDIX A:

SEPARATION SIGNAL SUMMARIES

	SIGNAL	PRESENCE
TONAL/ HARMONIC SIGNALS	Endings	●
	Tonality/Modality	●
	Harmony	
DOMAIN SIGNALS	Melody	●
	Rhythm	●
	Phrase Structure	
	Dynamics	○
	Texture	●
	Orchestration	●

○ = SEPARATION; ● = STRONG SEPARATION

Figure A.1: Use of separation signals in Luigi Boccherini's String Trio G. 79, ii, exposition

	SIGNAL	EXPOSITION	ROTATION 2
TONAL/ HARMONIC SIGNALS	Endings	○	●
	Tonality/Modality	●	●
	Harmony		
DOMAIN SIGNALS	Melody	○	○
	Rhythm	○	○
	Phrase Structure		
	Dynamics	●	○
	Texture	●	●
	Orchestration	●	●

○ = SEPARATION; ● = STRONG SEPARATION

Figure A.2: Use of separation signals in Luigi Boccherini's Cello Sonata G. 1, i, exposition and second rotation

	SIGNAL	PRESENCE
TONAL/ HARMONIC SIGNALS	Endings	●
	Tonality/Modality	●
	Harmony	●
DOMAIN SIGNALS	Melody	●
	Rhythm	
	Phrase Structure	●
	Dynamics	●
	Texture	
	Orchestration	

○ = SEPARATION; ● = STRONG SEPARATION

Figure A.3: Use of separation signals in Pierre Gaviniès
Violin Sonata op. 3, no. 1, i, Exposition

	SIGNAL	PRESENCE
TONAL/ HARMONIC SIGNALS	Endings	○
	Tonality/Modality	●
	Harmony	
DOMAIN SIGNALS	Melody	○
	Rhythm	
	Phrase Structure	●
	Dynamics	N/A
	Texture	●
	Orchestration	●

○ = SEPARATION; ● = STRONG SEPARATION

Figure A.4: Use of separation signals in Gaetano Pugnani's
Sonata for Two Violins, op. 1, no. 3, ii, Exposition[25]

[25] The figure uses "N/A" next to the dynamics signal to show that the movement here contains unreliable dynamic markings and, as such, the potential effects of that signal are not being considered.

	SIGNAL	PRESENCE
TONAL/ HARMONIC SIGNALS	Endings	○
	Tonality/Modality	●
	Harmony	
DOMAIN SIGNALS	Melody	
	Rhythm	
	Phrase Structure	●
	Dynamics	N/A
	Texture	
	Orchestration	

○ = SEPARATION; ● = STRONG SEPARATION

Figure A.5: Use of separation signals in Domenico Scarlatti's Keyboard Sonata in B-flat Major, K. 473, exposition[26]

	SIGNAL	PRESENCE
TONAL/ HARMONIC SIGNALS	Endings	○
	Tonality/Modality	●
	Harmony	
DOMAIN SIGNALS	Melody	○
	Rhythm	○
	Phrase Structure	●
	Dynamics	N/A
	Texture	
	Orchestration	

○ = SEPARATION; ● = STRONG SEPARATION

Figure A.6: Use of separation signals in Sebastián de Albero's Keyboard Sonata No. 18, exposition[27]

[26] The figure uses "N/A" next to the dynamics signal to show that this movement, like all others by Scarlatti discussed here, contains no dynamic markings (n.B. not unreliable dynamic markings, but an absence of markings).

[27] Albero's keyboard sonatas, like those of Domenico Scarlatti, do not contain any dynamic markings, hence the "N/A" next to the dynamics signal here.

	SIGNAL	PRESENCE
TONAL/ HARMONIC SIGNALS	Endings	○
	Tonality/Modality	●
	Harmony	
DOMAIN SIGNALS	Melody	○
	Rhythm	●
	Phrase Structure	●
	Dynamics	N/A
	Texture	●
	Orchestration	

○ = SEPARATION; ● = STRONG SEPARATION

Figure A.7: Use of separation signals in Domenico Scarlatti's Keyboard Sonata in F Minor, K. 184, exposition

	SIGNAL	PRESENCE
TONAL/HARMONIC SIGNALS	Endings	●
	Tonality/Modality	
	Harmony	●
DOMAIN SIGNALS	Melody	○
	Rhythm	○
	Phrase Structure	
	Dynamics	●
	Texture	●
	Orchestration	

○ = SEPARATION; ● = STRONG SEPARATION

Figure A.8: Use of separation signals in Boccherini's String Quartet in A Major G. 213, i, Exposition

	SIGNAL	PRESENCE
TONAL/ HARMONIC SIGNALS	Endings	○
	Tonality/Modality	
	Harmony	●
DOMAIN SIGNALS	Melody	
	Rhythm	
	Phrase Structure	●
	Dynamics	N/A
	Texture	
	Orchestration	

○ = SEPARATION; ● = STRONG SEPARATION

Figure A.9: Use of separation signals in Scarlatti's Keyboard Sonata in C Major, K. 420, exposition

	SIGNAL	PRESENCE
TONAL/ HARMONIC SIGNALS	Endings	○
	Tonality/Modality	
	Harmony	●
DOMAIN SIGNALS	Melody	○
	Rhythm	
	Phrase Structure	
	Dynamics	●
	Texture	●
	Orchestration	●

○ = SEPARATION; ● = STRONG SEPARATION

Figure A.10: Use of separation signals in Joseph Haydn's Symphony No. 6 in D Major, "Le Matin", i, exposition

	SIGNAL	PRESENCE
TONAL/ HARMONIC SIGNALS	Endings	○
	Tonality/Modality	
	Harmony	●
DOMAIN SIGNALS	Melody	●
	Rhythm	○
	Phrase Structure	
	Dynamics	●
	Texture	●
	Orchestration	

○ = SEPARATION; ● = STRONG SEPARATION

Figure A.11: Use of separation signals in Joseph Haydn's String Quartet in F Major, op. 17, no. 2, iv, exposition

	SIGNAL	PRESENCE
TONAL/ HARMONIC SIGNALS	Endings	○
	Tonality/Modality	
	Harmony	
DOMAIN SIGNALS	Melody	○
	Rhythm	
	Phrase Structure	●
	Dynamics	●
	Texture	
	Orchestration	

○ = SEPARATION; ● = STRONG SEPARATION

Figure A.12: Use of separation signals in Boccherini's String Quartet in A Major, G. 159, ii, exposition

	SIGNAL	PRESENCE
TONAL/ HARMONIC SIGNALS	Endings	○
	Tonality/Modality	
	Harmony	
DOMAIN SIGNALS	Melody	○
	Rhythm	
	Phrase Structure	●
	Dynamics	○
	Texture	
	Orchestration	

○ = SEPARATION; ● = STRONG SEPARATION

Figure A.13: Use of separation signals in Boccherini's String Quartet in A Major, G. 163, ii, exposition

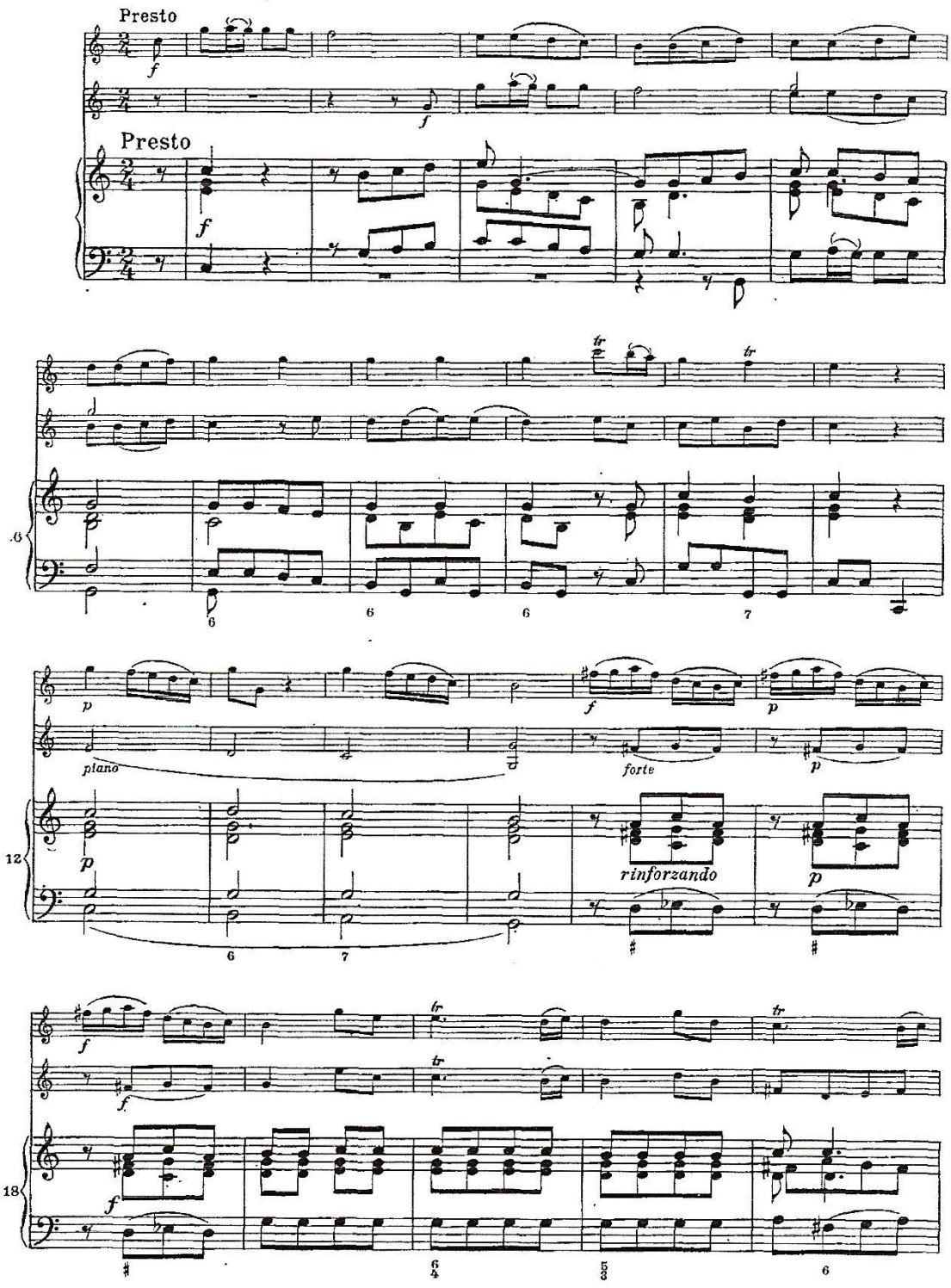
	SIGNAL	PRESENCE
TONAL/ HARMONIC SIGNALS	Endings	●
	Tonality/Modality	○
	Harmony	
DOMAIN SIGNALS	Melody	○
	Rhythm	
	Phrase Structure	●
	Dynamics	
	Texture	
	Orchestration	

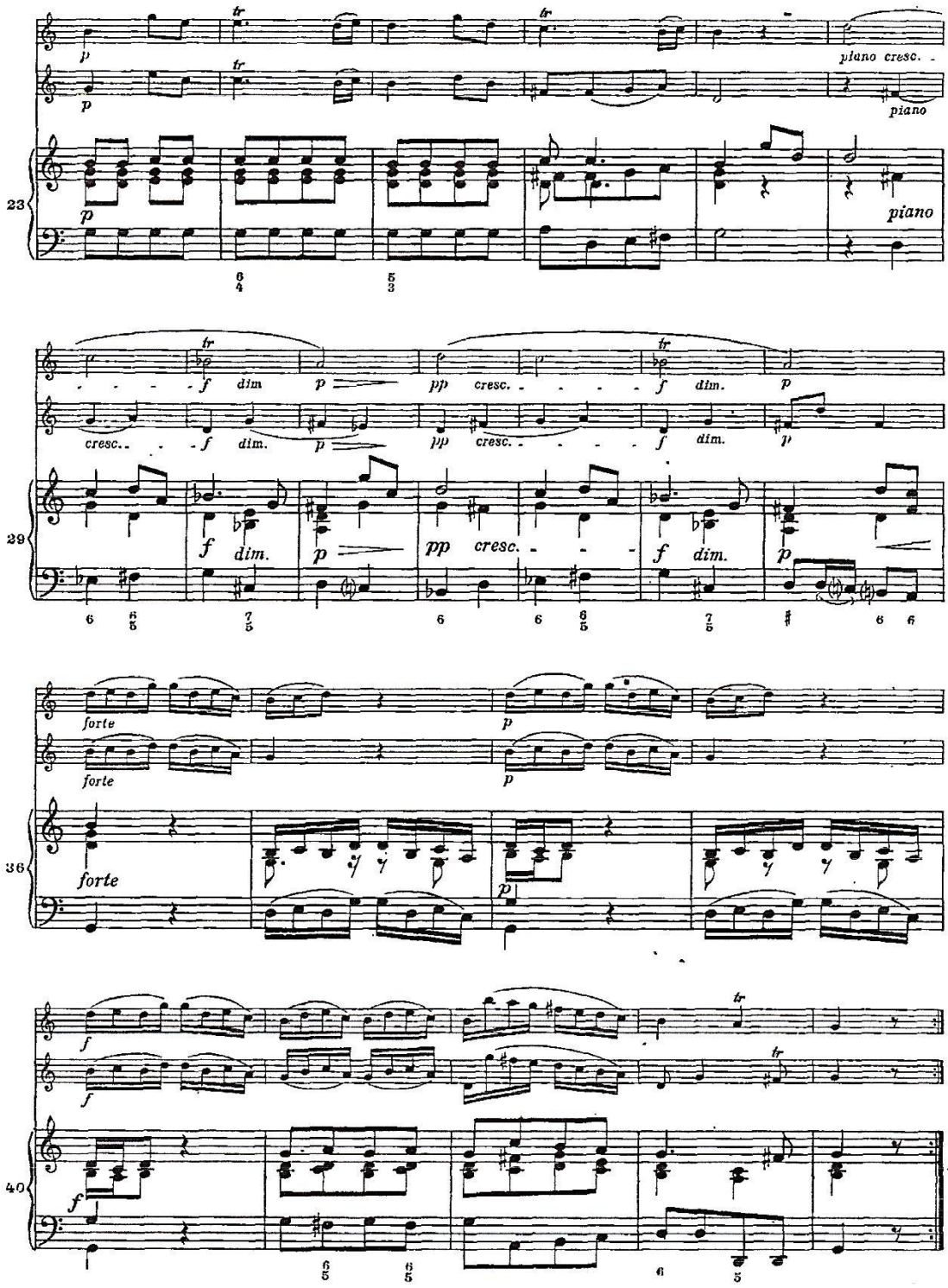
○ = SEPARATION; ● = STRONG SEPARATION

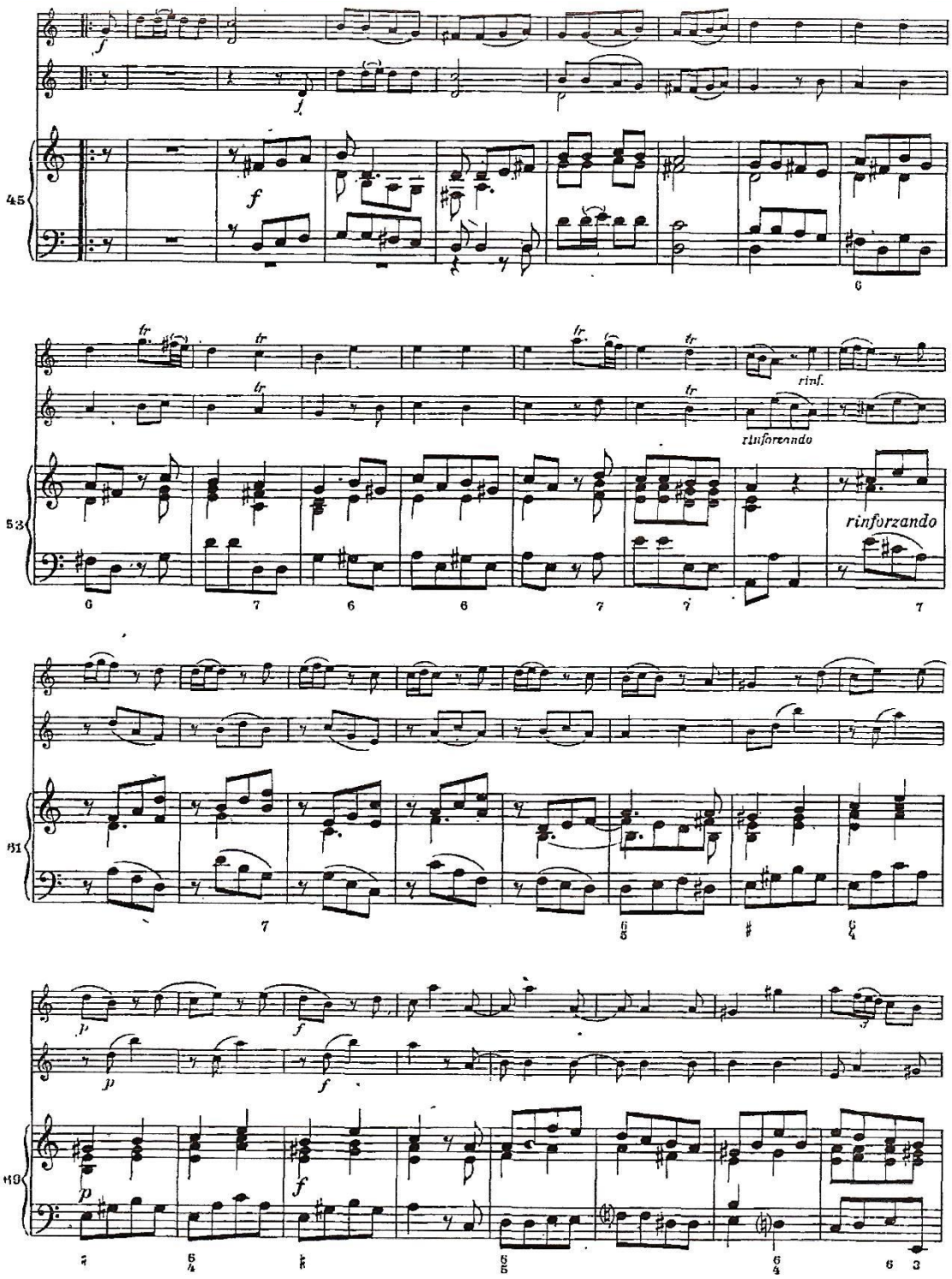
Figure A.14: Use of separation signals in Boccherini's String Quartet in G Major, G. 161, ii, exposition

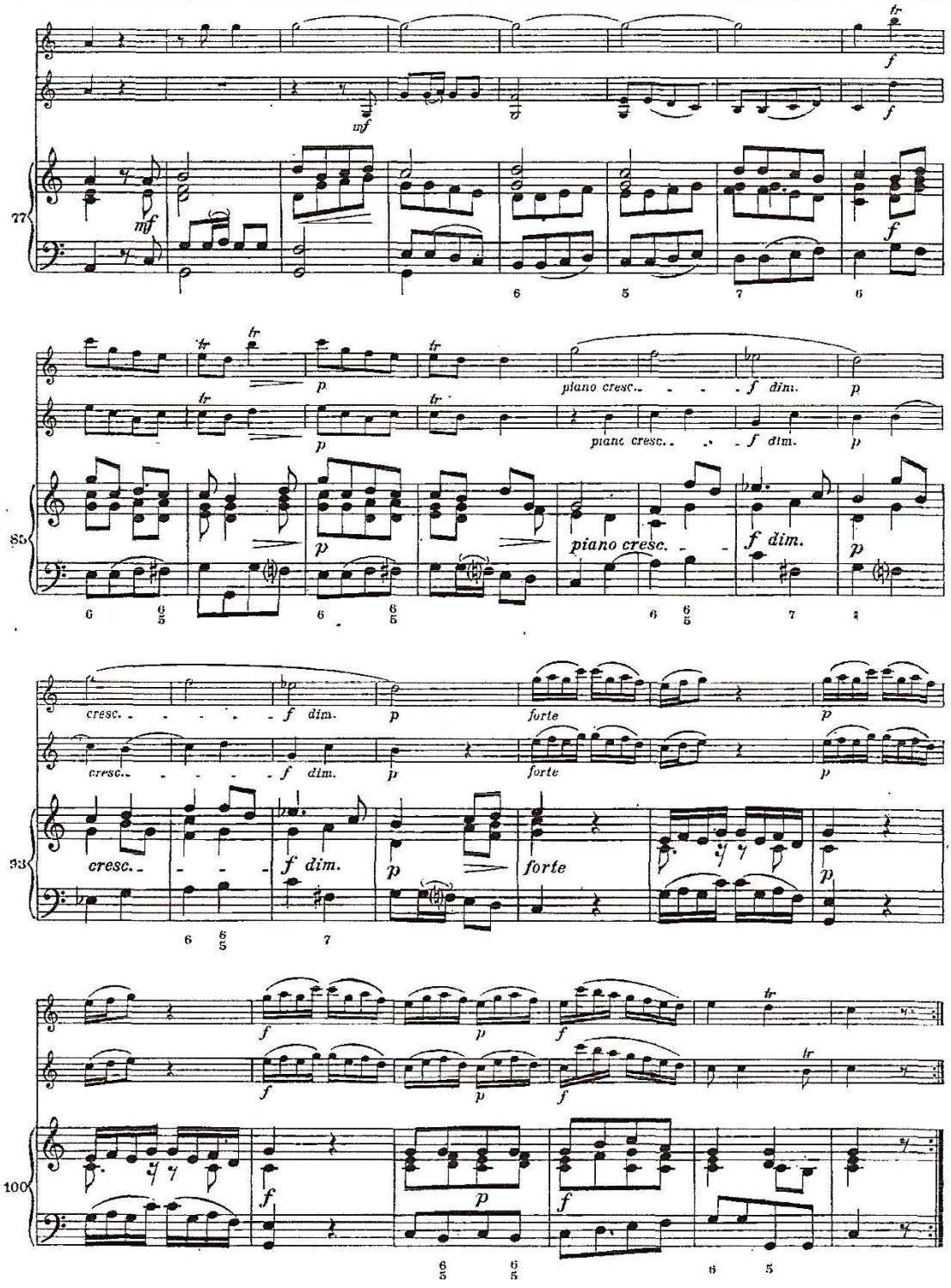
APPENDIX B:

SCORE TO GAETANO PUGNANI'S SONATA FOR TWO VIOLINS AND CONTINUO IN C MAJOR, OP. 1, NO. 3, I; EDITION FROM VERLAG DOBLINGER, EDITED ERICH SCHENK


Presto
Presto
plano
forte
rinforzando


23
p
piano cresc.
piano
piano
29
f dim.
p
pp cresc.
36
forte
40


45
53
61
69
rinf.
rinforzando
rinforzando


77
mf
f
85
piano cresc.
f dim.
p
93
cresc.
forte
100

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